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THE UNIVERSITY OF ALBERTA

A CASE STUDY IN EDUCATIONAL POLICY MAKING: THE ESTABLISHMENT OF ATHABASCA UNIVERSITY

by

MICHAEL WILLOUGHBY SMALL

A THESIS

SUBMITTED TO THE FACULTY OF GRADUATE STUDIES AND RESEARCH

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FACULTY OF GRADUATE STUDIES AND RESEARCH

The undersigned certify that they have read, and recommend to the Faculty of Graduate Studies and Research, for acceptance, a thesis entitled "A Case Study of Educational Policy Making: The Establishment of Athabasca University" submitted by Michael Willoughby Small in partial fulfilment of the requirements for the degree of Doctor of Philosophy.

ABSTRACT

This is a political sociological case study concerned with the genesis of Alberta's fourth provincial university. Two distinct areas are examined in this study: (1) the identification of specific factors associated with legislation authorizing the establishment of the university; and (2) the development of some generalizations which could lead to a more general theory of policy making based on data obtained in the study.

The first problem in this qualitative/phenomenological study was the identification of specific factors associated with the legislation authorizing the establishment of the university. This was carried out by interviewing key people associated with this activity and conducted within the context of a policy analysis approach. It was essentially a matter of identifying: (1) the elite groups; (2) the influential persons; and (3) the informal networks who were associated with the decision-making processes that resulted in the establishment of the university. During this investigation a total of 46 interviews were conducted between January 1978 and June 1979. The information derived from these interviews was confirmed by a study of relevant documents which related to this legislation.

The second major problem was concerned with the

development of some generalizations related to the policy-making process. These generalizations were based on information obtained in this study. This research was carried out within two theoretical perspectives: (1) a grounded-theory approach; and (2) an approach in which empirical findings were developed on the basis of the analysis of a single case. Guided by the theoretical perspective of these two approaches and utilizing a comparative and internal method of analysis of the four identified stages in the university's development: (1) euphoria; (2) moratorium; (3) acceptance; and (4) endorsement; two distinct types of findings related to the policy-making process emerged.

Finding 1: Seventeen propositions were developed in the area of policy analysis.

Finding 2: A framework was developed in which it is demonstrated that there are three discernible types of policy making: (1) bona fide policies; (2) expedient policies; and (3) policies of appeasement. This framework was based on a synthesis of the data and developed within a context in which the research of the policy analysts was utilized.

It is argued that in the interests of both the democratic process and social justice, major educational decisions in which substantial amounts of public money are

involved could be scrutinized and analyzed according to the model proposed in this thesis.

A cautionary note is offered by the inclusion of three caveats which relate to the methodology. These caveats are as follows: (1) the nature of the qualitative data and the manner in which they were obtained; (2) the limitations of the findings including the need for a more rigorous examination of the theoretical outcomes; and (3) an advisory comment to the effect that, while the appropriateness of the grounded-theory approach for this particular study may be questioned, its usefulness ought to be tested further in similar investigations.

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CHAPTER 1

THE PROBLEM

The Statement of the Problem

The major purpose of this study was to describe the genesis and evolution of Athabasca University. In order to do this the following subproblems were addressed.

Subproblems

1. To identify and describe:

(a) The specific factors associated with the genesis of Order in Council 1206/70, June 25, 1970 authorizing the initial establishment of Athabasca University.

(b) The specific factors associated with the genesis of Order in Council 1986/72, December 20, 1972 authorizing Athabasca University to offer an alternative form of university education.

(c) The specific factors associated with the genesis of the announcement November 6, 1975 in which Athabasca was approved as a permanent baccalaureate University.

(d) The specific factors associated with the genesis of Orders in Council 434/78 and 435/78, April 12, 1978 in which Athabasca University was approved as a permanent self-governing post-secondary institution.

2. To develop some generalizations and conclusions, based on an analysis of the identified events, which would facilitate an understanding of the policy-making process.

Significance of the Study

The study dealing with the genesis of Athabasca University's legislation has been chosen for the following reasons:

1. The dissertation is a study of the policy-making process within an educational context. Both the professional/rational arguments and the political arguments resulting in a political decision to establish a fourth university in the province of Alberta are examined. The study therefore contributes to the theory of policy analysis.

2. Athabasca is now Alberta's fourth provincial university, and thus represents a considerable investment in the province's educational capital. With the current interest in post-secondary education, the factors which gave rise to the development of Athabasca University could

have practical significance for the planning of alternative post-secondary institutions.

Delimitations

(1) The study was concerned only with the specific legislation relating to the genesis of Athabasca University on June 25, 1970, December 20, 1972, November 6, 1975, April 12, 1978. (2) Only major participants were identified and interviewed. (3) The study was delimited to one case study only, pertaining to the genesis of Athabasca University. (4) The study was delimited to the period under review, 1966-1978, although for the purposes of clarity and continuity it was necessary to refer to certain events prior to 1966.

Limitations

The study was limited by: (1) the degree to which generalizations were made from the data produced; (2) the ability of respondents to recall events which happened ten years earlier; (3) the amount of information which was readily obtainable from cabinet discussions, for access to some of these data was related to sensitive political processes and events, and information of this kind was difficult to obtain; (4) the interviewing of those persons who had a direct part in the genesis of Athabasca University

for some difficulties were presented by the limitations of time, geography and economics; and (5) the findings were limited by the particular methodology utilized in the study, for the identification of specific factors related to social phenomena was a difficult task.

Organization of the Dissertation

Two distinct thrusts are emphasized in this dissertation. The first is a study of the genesis and evolution of Athabasca University, per se, and the second is an attempt to derive some generalized statements about the policy-making process from this study of the evolution of Athabasca University. To achieve these goals the dissertation has been organized in the following way.

Chapter 1: In this chapter the following aspects are discussed: (1) the statement of the problem to be researched; (2) the significance of the study; (3) the delimitations, and the limitations; and (4) a resume of the organization of the dissertation.

Chapter 2: In this chapter the six streams of literature utilized in this study are reviewed: grounded theory, qualitative methodology, policy analysis, theory building, developing empirical findings through the analysis of a single case and the case study.

Chapter 3: In this chapter the research perspective and methodology developed from the literature review are described and explained. This chapter therefore includes only those aspects of the literature review which are pertinent to this study.

Chapter 4: This chapter includes a chronological review of the main events leading up to the establishment of Athabasca University. In the chapter the following sections are covered: (1) the events which took place under the Social Credit government; and (2) the events which took place under the present (1979) Progressive Conservative government.

Chapter 5: This chapter includes sections in which generalized statements about policy making are developed. It includes concepts, propositions and a policy classification scheme derived from the data presented in the preceding chapters.

Chapter 6: This chapter includes: (1) an appreciation of the theoretical context, i.e., grounded theory and a naturalistic ethnographic approach in which the study was formulated; (2) a summary of the major outcomes; and (3) some suggestions and implications for future research in this area.

CHAPTER 2

A REVIEW OF THE LITERATURE

The literature which is related to this study has been organized into six separate yet interrelated sections.

Section I: This section includes a selection of literature in which reference is made to studies involving the use of the grounded-theory approach.

Section II: This section includes a selection of literature in which reference is made to other qualitative approaches such as: empiricism; ethnography; field study; inductive investigation; investigative sociology; journalistic enquiry; naturalistic enquiry; and phenomenology.

Section III: This section includes a selection of literature in which reference is made to studies in the field of policy analysis.

Section IV: This section includes a selection of literature in which reference is made to recent studies in theory building.

Section V: This section includes a selection of literature in which the area of the development of empirical findings through the analysis of a single case is analyzed.

Section VI: This section includes a brief survey of research findings related to the case study approach.

Section I: Grounded Theory

Grounded Theory

Grounded theory is a term used by Glaser and Strauss (1967:2) to describe a process in which theory is systematically obtained from social research. Grounded theory may be contrasted with logico-deductive theory. It is considered by its proponents to be more successful than theories which are logically deduced from *a priori* assumptions. Grounded theory is inductive which means that the theory is induced after the data collection has been commenced (cf. Homans, 1950:18).

In addition to the work of Glaser and Strauss (1967), there has been a swell of interest in the grounded-theory approach. This is illustrated in particular by the more recent work of Glaser (1978), the reviews of Mullen and Reynolds (1978) and Mullen (1978). The grounded theory

mode of enquiry is also evident in the work of:

> Bossert (1977), Broadfoot (1978), Byrne (1978), Dunn (1977), Eldridge and Crombie (1974), Furlong (1977), Greenfield (1977), Hargreaves (1977), Jenkins (1978), Laslett (1978), Louis (1977), Magoon (1977), Orenstein (1978), Owens (1978), Rickards (1978), Shaw (1978), Thomas (1977), Tunnell (1977), West (1978) and Wilson (1977).

The grounded-theory and the inductive approaches are both predicated on the assumption that theory must be grounded in data. Glaser and Strauss (1967:34) have argued therefore that concepts should be allowed to emerge from the data. They argued further that in the beginning of an investigation the researcher's understanding of an area would be incomplete.

At this stage further data collection, guided by emerging concepts, would be suggested in which inter-relationships could be elaborated and verified among the emerging concepts. Applied to this study, it was possible in this phase to identify: (1) the need to use further interviews with previously unidentified personnel; and (2) the further analysis of documents.

As a result, the core of an emerging theory is generated, and as Glaser and Strauss (1967:34) have argued,

it was "in order to see which of diverse formal theories are, perhaps applicable for further substantive formulations."

Initially Glaser and Strauss (1967:32) had considered two basic kinds of grounded theory: (1) substantive which is an explanation about a specific area developed for an empirical area of enquiry and (2) formal which is an explanation of a concept in its full generality. Glaser (1978:52) then added to this initial breakdown by proposing a third category which he termed general substantive theory. This is an explanation which comes midway between substantive and formal theory. It is more general than substantive theory, but not completely general as formal theory. It is suggested that the generalizations produced in the study will fall into this category.

Glaser (1968:5) had described the grounded-theory approach as a progressive building up of facts through a substantive level to a formal level. The researcher had to collect many facts utilizing an ethnographic/direct data collection process to arrive at this stage of theory building (see Figure 1).

A difficult methodological problem in this type of qualitative research according to Glaser (1966:57) was that chronologically there was no clear cut line between: (1) the data collection process; (2) the analysis process;

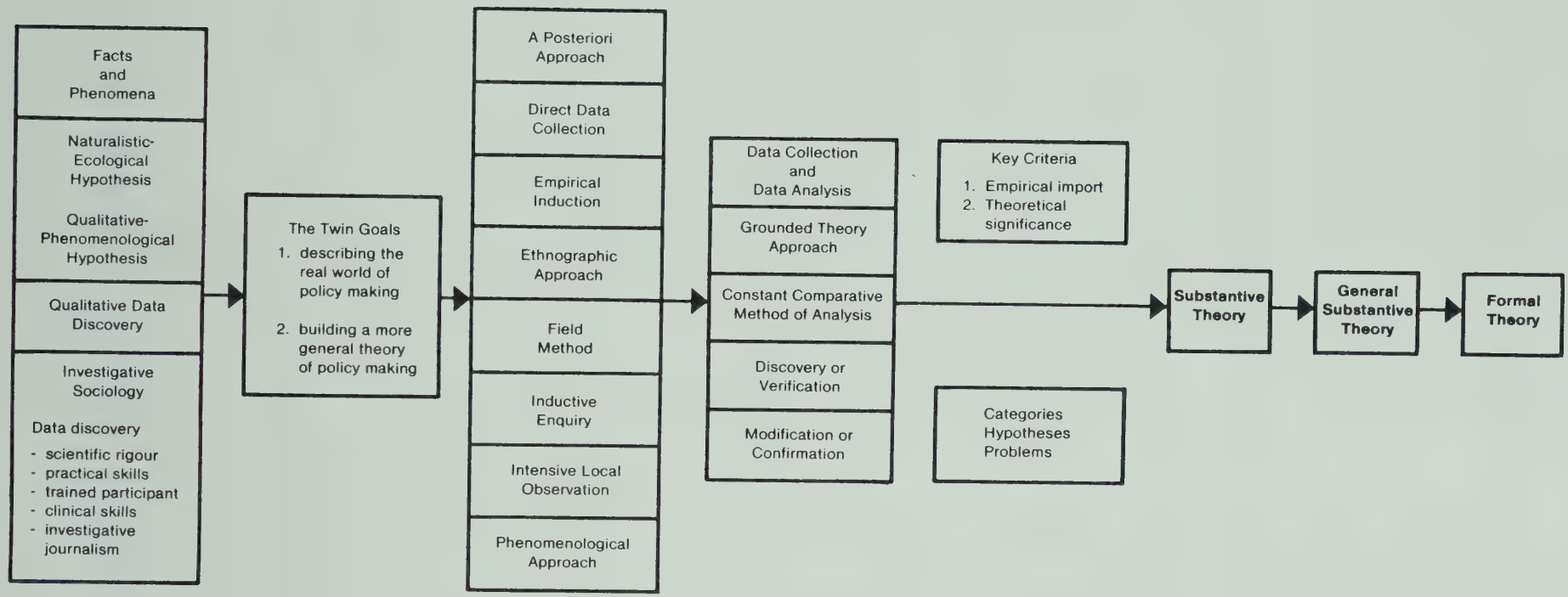

Figure 1. The generation of grounded theory within a political sociological context

and (3) the conceptual integration stage. Glaser argued that there tended to be a continual blurring and intertwining of all three operations from the beginning until nearly the end of the investigation.

Examples of Recent Work Involving Grounded Theory

A selection has been made of the work of some of the researchers previously mentioned. This selection will be used to illustrate the direction of the current work in grounded theory.

1. Byrne (1978) wished to develop a grounded formal theory of sociotemporality. He stated that Glaser and Strauss (1967) provided the best methodological and theoretical statement for such an endeavour. Byrne emphasized that his goal was discovery of new theory rather than verification of existing theories.

2. Dunn's (1977) study dealing with planned organizational change was an inductive style of enquiry emphasizing the generation of situationally specific knowledge. He argued that: (1) grounded theory was generated directly from experience acquired in the course of social research; and (2) the development and application of grounded theories would be more likely to improve the quality of research findings.

3. Eldridge and Crombie (1974) examined the differences between formal and substantive theories. They proposed that the researcher could attempt a comparative analysis among groups in a substantive area. The focus here was therefore on generating specific substantive theory. An attempt could also be made to analyze on a comparative basis different substantive cases all of which were defined as being within a given formal area. The focus here was therefore on developing a specified formal area. They argued that the methodological position which Glaser and Strauss (1967) adopted was essentially inductive. Both Glaser and Strauss and Eldridge and Crombie indicated the progressive build-up of facts which led first to the development of substantive theory and then eventually to the development of formal theory.

4. Greenfield's (1977) research problem was divided into two parts to develop: (1) a more complete understanding of GAS-ing phenomena (Getting the Attention of Superiors); and (2) a theoretical framework in which these discoveries would be integrated with the already existing theories of individual and organizational socialization. The major task in this study was the generation of a data-based theory about administrative candidacy in public schools.

5. Jenkins (1978:81) argued that contingency theory had a particularistic rather than a universalistic bias indicating the relative uniqueness of each organization. This idea could be extended by adopting the grounded-theory approach, in which theory would be generated by appropriate research. Concepts would be developed from data obtained in this way.

6. Magoon (1977) reviewed various approaches utilized in educational research. These included the traditional deductive educational research hypothesis, and hypotheses which were developed from an ethnographic approach. According to Magoon, Glaser and Strauss (1967) perceived theory to be a never ending process in which facts were brought constantly into consideration by qualitative processes.

7. West (1978) utilized a discovery process of analytic induction to develop grounded theory in a Canadian study entitled The Short Term Careers of Serious Thieves.

8. Wilson (1977) described ethnographic techniques that were used in educational research. The rationale that he proposed for this methodology was based on two hypotheses concerning human behaviour: (1) a naturalistic/ecological hypothesis; and (2) a qualitative/phenomenological hypothesis. He argued that it was essential to study events in their natural settings, and as Glaser

and Strauss (1967) had argued earlier, Wilson stressed the superiority of theory which was grounded in the reality being studied.

Section II: Other Qualitative Methodological Approaches

Introduction

The naturalistic/qualitative paradigm is, in Guba's (1978) view, an alternative to the scientific/quantitative paradigm that has been dominant for so long in educational research. However, advocates of qualitative research have argued convincingly that there is as yet no perfect research design and that it is possible to produce a great amount of useful data by means of the qualitative paradigm in spite of limitations such as availability of resources, time and the interests of the researcher.

Owens (1978) defined qualitative methodology to include research strategies such as: (1) participant observation; (2) in-depth interviewing; and (3) total participation in the activity being investigated. These would allow the researcher "to get close to the data" thereby developing the analytical, conceptual and categorical components of explanation from the data itself.

A Naturalistic Approach

It seems increasingly difficult to discuss any of the terms considered so far in isolation. The naturalistic position is similar to the ethnographic and phenomenological approach. The naturalistic/qualitative approach may be (according to Owens, 1978) a source of theory-building concepts. This position is similar to the views expressed by Glaser and Strauss (1967) and Glaser (1978) that theory should be grounded in data.

A naturalistic enquiry may thus be described in the following terms: (1) it is generally developed for a non-technical audience and to a large extent uses ordinary language; (2) it is an enquiry aimed at understanding selected social realities and human perceptions that are unaffected by the unobtrusiveness of formal measurement or preconceived questions; (3) it is essentially a process aimed at uncovering important events told by real people about real events in real and natural ways. The emphasis in this kind of investigation must be on people and the interactions that occur with people.

In brief, the naturalistic researcher's paradigm is concerned with: (1) the description and the understanding of a situation; (2) the total immersion of the researcher in an investigation with as open a mind as possible; and (3) the impressions which are allowed to form as a result

of this enquiry.

The traditionalist who follows the conventional pattern in educational research normally adopts the following approach: (1) a logical positivist philosophical perspective; (2) an enquiry paradigm that is essentially experimental; (3) a purpose that is explained in terms of verification; (4) a setting that is typically in a laboratory; and (5) conditions that are carefully controlled and monitored.

In contrast to this, the following characteristics are demonstrated by a naturalistic approach: (1) a phenomenological philosophic base; (2) an enquiry paradigm that simulates ethnography or investigative journalism; (3) a purpose explained in terms of discovery rather than verification; and (4) a setting and conditions which are both natural and uncontrolled.

Field Study Approach

Rist (1979) has pointed out that there are many ways now available to the qualitative researcher in the study of social phenomena. He argued that there was more than one paradigm now available for research, and that the method adopted should suit the particular problem. Cronbach (1977) believed that the special task of the social scientist was to pin down contemporary facts by

intensive local observation. The use of the field approach now seems more assured despite some earlier unfavourable negative reactions. Lutz and Ramsey (1974) felt that the field method was used too infrequently and often badly. They argued that educational researchers preferred to be associated with the more scientific and therefore presumably the more prestigious approach, rather than making some tentative assumptions about particular phenomena being studied.

In advocating the field study approach, Rist (1979) outlined some of the advantages he saw in the process he termed triangularization. By this term he meant that the data would be checked and validated constantly by means of the following three activities: (1) structured and unstructured interviews; (2) relevant document searches; and (3) participant observation. Usually these activities would be carried out concurrently. The integration of these three methods would, according to Rist, ensure both the credibility and validity of the study. In a field study approach the main purpose of the exercise was to try to understand human behaviour in its natural setting. At the same time the researcher would utilize the multiple means of verification just described to ensure the credibility of the information obtained in his investigation.

Rist seems to follow the same procedure as Glaser and Strauss (1967). Rist has stated that theory begins with an extrapolation from grounded events. The qualitative researcher who intends to develop a theory needs, according to Rist, the ability to extract from his field notes some key incident, which can be linked to other incidents, phenomena and theoretical constructs. He then needs to conceptualize this so that others may see the generic in the particular and the universal in the concrete. Rist (1977:45) has argued that it is most important for a qualitative researcher to be able to demonstrate the relation between the part and the whole.

Investigative Sociology

Recent indications of interest among educators in the use of non-statistical research methodologies is on the increase. It has been demonstrated that there is a need for other research strategies in which the discovery of data is stressed. Whilst experimental-statistical studies will probably still continue to dominate most of the educational research scene, there seems to be an increase in the numbers of researchers with a qualitative and sociological background who will continue to search for alternative research strategies.

Investigative sociology, a term suggested by Ball

(1977), is one such strategy. The methodology adopted here is similar to the one developed by Schatzman and Strauss (1973).

According to Ball (1977:8) the researcher should proceed with a synthetic approach in which the following skills are combined: (1) the rigour of the scientist; (2) the practical abilities of the skilled craftsman; (3) the activities of the highly trained participant; (4) the probing of the clinician; (5) the skepticism of the investigative journalist; and (6) the opportunism of the detective. Ball argued that this approach was necessary for the construction and testing of social theory.

The Ethnographic Approach

Ball (1977), Guba (1978, 1979a, 1979b), Nagel (1977), Overholt and Stallings (1976) and Scribner (1977) all argue in favour of an ethnographic, inductive field-oriented approach in which educational problems or issues are analyzed away from the controlled artificiality of a laboratory situation.

Overholt and Stallings (1976) described the approach in which ethnographic hypotheses were generated after some observations had been made in that field. The task in their opinion was mainly a matter of recording observed

regularities and organizing these into empirical generalizations. In other words the researcher adopted the inductive process.

Tunnell (1977) also supported the use of field research as a means of investigating real life situations. He argued that the built-in external validity factor was one reason why field research was now attracting a great deal of interest.

Journalistic and Other Forms of Analyses

In a review of methodological procedures used in policy-analysis studies, Nagel (1977:43) presented aspects of both quantitative and non-quantitative methods currently in use. The non-quantitative research methods included: (1) journalistic descriptions of incidents of policy formation; (2) philosophical analyses of normative value statements; (3) historical descriptions of previous attempts to deal with various policy problems; and (4) anthropological or ethnographic studies dealing with the handling of policy problems.

Survey, Reputational and Issue Analyses

Scribner (1977:33) outlined some of the methods he thought appropriate for studying power and politics in education. These included: (1) survey analyses, (2) reputational analyses, and (3) issue analyses.

A Phenomenological Approach

Viewpoints similar to phenomenology in philosophy are reflected in existentialism, pragmatism and radical empiricism. The difficulty of describing a phenomenological approach has been analyzed by James (1955:509) when he extemporized on the real world being more different and more intricate than science allowed. The basic problem for the phenomenologist was concerned with an understanding of human behaviour from the actor's own frame of reference. The phenomenologist approached his research tasks with few preconceptions, unlike a researcher who adopted a quantitative approach with highly structured instrumentation.

In brief, maximum sensitivity to the natural conditions of real world settings is provided by a phenomenological approach. The researcher simply tries to set down what is there without any preconceptions and without influencing to any great extent what is there. The task of the phenomenologist is often made difficult and time consuming because utilizing a phenomenological perspective involves the analysis of a great deal of unordered data in a search for an order or system within the environment that is being researched.

Section III: Policy Analysis

The following section has been divided into four subsections.

Subsection 1: Definitions of Policy

Subsection 2: Some Recent Approaches to a Study of Policy Analysis

Subsection 3: Who Does Make Policy? Elite Groups, Pluralist Groups or Networks?

Subsection 4: A Review of the Findings of Some Major Researchers Whose Work is Highly Relevant to this Study.

Subsection 1: Definitions of Policy

Numerous studies on the policy-making process have been undertaken. Easton (1965b:50) has argued that policy making is whatever governments choose to do or not to do.

Jantsch (1969:46) defined policies as normative expressions of future states of dynamic systems. Stringham (1974:17) viewed policy making as a major guideline for future discretionary action. It was generalized, philosophically based and implied an intention for taking action. Policy making could thus be viewed as a political activity that defined both objectives and goals.

Other useful definitions of the policy-making process

included those proposed by Friedrich (1963:70) who defined the process as a course of action of a person, group or government within a given environment and Ranney (1968:6) whose definition included the following major components: (1) a particular object; (2) a desired course of events; (3) a selected line of action; (4) a declaration of intent; and (5) an implementation of that intent.

Cistone (1977:89) saw policy making as the determination of a particular course of action that was advantageous or expedient. It was a difficult process when undertaken conscientiously and when pursued in the public interest. Part of the difficulty in understanding public policy making was, in Cistone's view, that it was such an imperfect art and an imprecise science.

Subsection 2: Some Recent Approaches to a Study of Policy Analysis

Freeman (1978:9) stated that some policy analysts were essentially essayists, others were field investigators, survey researchers and model builders. Each method had its own supporters, and this fact added to the already extensive heterogeneity of the field. Policy-analysis studies did not yet have a unique methodology and this would become apparent in the review of the literature which follows. In general terms policy-analysis studies could

be defined as the study of: (1) the nature; (2) the causes; and (3) the effects of alternative public policies.

The position taken by the Alberta School Trustees Association (1976) was that in policy-analysis studies the main emphasis would be on the identification of the policy makers. This position, in the opinion of the ASTA, meant an examination of the "top" people in an organization.

The naive view, according to Gershuny (1978), was a situation where the ideal, rational, public policy maker obtained the best possible technical advice on all the complete range of feasible policies, and all the likely consequences, and then chose among them according to his organization's preferences.

In the utilization of this process following Gershuny (1978) the suggestion was that there were experts who provided independent, objective information and there were the politicians who evaluated this information. In Gershuny's view this approach was quite impracticable.

Policy analysis, according to Ukeles (1977:223), could be defined as the systematic investigation of alternative policy options and the assembly and integration of the evidence for and against each option. This approach would be essentially a problem-solving one, plus

some attempt at predicting the consequences of alternative courses of action. Ukeles stated that the fundamental purpose of policy analysis was to facilitate the reaching of sound policy decisions.

According to Reynolds' (1975) conceptual and methodological analytic approach, the aim of policy science was the acquisition of empirical knowledge. Reynolds (1975:7) proposed that a policy was a move made from one position in a practice which could be reasonably expected to have at least one of the following results: (1) a modification of that practice; (2) a lack of modification of that practice; or (3) the creation of another practice. The key criteria of rationality for any form of inquiry in this type of study were those which governed concept formation. Reynolds (1975:11) argued that empirical import and theoretical significance were these two key criteria.

In a significant review of the policy-making process in Alberta, Mansbridge (1978) described how social policy was developed, managed and modified. Mansbridge (1978: 313) described the mechanics of the policy-making process and showed how the proposed policy was taken through the various committees at cabinet level. Mansbridge's article is particularly useful because he has conceptualized the way in which new policies originate.

New policies according to Mansbridge (1978:322) were usually the result of a combination of the following events: (1) recognition of a basic need; (2) research by an appropriate agency; (3) a position paper containing recommendations; (4) public debate of the conclusions; (5) a set of proposals for study by the appropriate cabinet committee; (6) a directive setting out the goals of government; and (7) a resultant implementation plan together with assigned resources to achieve the policy objectives.

Another highly significant study of the policy-making process was carried out by Almond and Powell (1978: 232) who argued that policy making was the pivotal stage of the political process. It was the point at which effective political demands were converted into authoritative decisions. Almond and Powell (1978:246) proposed that policy-making processes operated differently in response to different kinds of issues.

The position taken in British constitutional theory was that cabinet was the most important collective policy maker. However with the increased work load, and the technical character of modern public business, most of the policy making was undertaken by the responsible ministers, their highest civil servants and a specialized cabinet committee.

Myroon (1978) proposed what he termed a pro-retrospective policy-making mode. He viewed policy making as the major mechanism for meeting educational aspirations of the provincial publics and inducing improvements in the quality of education. Movement toward a preferred state would be permitted by effective policy making.

Garms et al. (1978:12) stated that there were three predominant values for much of the educational policy making that took place in the United States. These were equality, efficiency and liberty, or in their own words values that were good, just and right. Garms et al. (1978) considered this approach to be fundamental in understanding the policy-making process in public education. In other words, educational policies that ensured: (1) educational outcomes; (2) equal access to education; (3) equal treatment of students; and (4) provided for the most goods and services for the least possible means, were the policies that should be formulated.

In the section dealing with the generation of educational legislation, Garms et al. (1978:161) stated that the ideas forwarded to the legislature should be politically popular or at least should not be too politically controversial.

Other recent researchers in the area of policy analysis and policy formation include: (1) Lonsdale (1978) who viewed policy formation as a complex interplay of analysis and politics. (2) Price (1978) who conceptualized the process in an analysis of policy making in congressional committees in terms of the cozy relationships that existed among particularistic groups, committees and agencies. Price (1978:569) used descriptors such as "unholy trinities," "triangular trading patterns," "whirlpools of influence," "sub-governments" and similar terms.

(3) Quade (cited in Nagel, 1977:21-25) analyzed the differences that existed in policy making in three different spheres, military, industrial and public policy. Quade argued that public policy problems tended to be more messy and ill defined than the other two areas of military and industrial policy making. (4) Meltsner (cited in Nagel, 1977:226) argued that policy analysis depended on certain key concepts, comprehensiveness, rational choice, sequential review, coordination, projection and above all a systematic approach. (5) Kerr (1976) saw educational policy analysis in terms of a current state and a desired state. There was a problem situation which had to be rectified accordingly. (6) Iannacone (cited in Kirst, 1970:284) examined educational policy making at the state level. He conceptualized the process in the form of dyads or face to

face groups which were composed of persons who held common membership within the social system involved in legislation in two or more groups. These groups were thus linked to the legislature by means of a network of interaction. (7) Bauer and Gergen (1968:3) argued that policy making consisted of the setting courses of action that were designed to implement the values, usually of a fairly large group of persons, on a given issue. Bauer and Gergen (1968:181) stated that tracing the process of public policy formation in a social system was an arduous task. The complexities of this task often hindered an analysis in depth of a particular policy. Gergen (1968:186) argued that it was sometimes difficult to determine the exact source of an idea that eventuated in public policy, however Gergen (1968:186) did state that it was "safe to say" that some persons occupied more optimal positions for policy initiation than others.

Subsection 3: Who Does Make Policy? Elite Groups, Pluralistic Groups or Networks?

According to Peterson (1976) public policy was formulated through a bargaining and negotiation process among a plurality of individuals, groups, agencies and interests. Hunter (1953) stated that "powerful people behind the scenes pull strings" to obtain the desired end. This elitist position which Hunter (1953) described was

similar to an oligarchical decision-making process.

Dahl (1961) argued in favour of a pluralist position stating that community power was scattered among various competing interest groups in a situation of dispersed inequalities. Kimbrough (1964) analyzed educational decision-making processes at the local level and concluded that top policy decisions were greatly influenced by informal elites, informal interest groups and informal interactions.

Kadushin (1968:685) investigated elite groups and analyzed the little research data that were available on the concept of the social circle. Kadushin (1968:686) commented also on the multiplicity of definitions that occurred in the literature relating to power and influence.

Keller (1963:4) defined elites as a minority of individuals designated to serve a collectivity in a socially valued way. According to Keller, socially significant elites were responsible for the realization of major social goals and for the continuity of the social order. Mills (1956:283) conceptualized the power elite as being socially connected and class conscious. He further described the power elite by stating that they were composed of men who were in positions to make decisions of major consequence. Whether or not they made such decisions was not so important as the fact that

they occupied pivotal or key positions.

In a network analysis study, Burt (1978:123) examined the linkages that are found among persons, groups or corporations as opposed to analyzing their individual attributes. In Burt's view, classic social concepts such as status, role, prestige and power could be identified and analyzed by utilizing a network analysis approach.

Alba and Moore (1978:167) analyzed some of the issues in identifying cliques and social circles among some American political elites. They referred to: (1) the frequent emphasis on informal structure; and (2) the tension that is observable between informal networks and a formal organization. Alba and Moore (1978:169) argued that the traditional concept of a clique, with its emphasis on direct interaction among all or most of a clique's numbers appeared to be too restrictive for a thorough understanding of this social phenomenon.

Instead Alba and Moore (1978:169) have proposed that the concept of a social circle would be more appropriate as a base for an empirical analysis of integration. Alba and Moore (1978:183) have stated that it should be ascertained who belonged to this circle, for accurate identification of key personnel, or those persons who were able to exert influence on the decision-making process,

was crucial to a study of this kind.

Braungart (1978:123) too was aware of the elite, influential circle. He differentiated between: (1) top influentials, i.e., leaders who were involved in the decision-making process in community issues; and (2) key influentials, i.e., leaders who were reported to be involved in the community decision-making process.

Jenkins (1978) saw the policy-making process as a political game in which piecemeal solutions predominated. Policy making according to Jenkins (1978:6) was best understood by identifying the major players, individuals or groups, and then explaining their influence over each other and their interactions. Jenkins analyzed the power and the power relationships that existed. To explain policy decisions he argued there was a need to explain behaviour and the constraints that impacted upon it. Jenkins (1978:63) proposed that there were two main requirements in policy-analysis studies. These were: (1) the identification of the actors and organizations; and (2) an analysis of their interactions.

Finally, from this survey of some of the more recent and significant findings in policy-analysis research studies, it is abundantly clear that as yet: (1) there is no single comprehensive theory in this field of policy analysis; and (2) there are many opinions regarding key

components in the policy-making process.

Subsection 4: A Review of the Findings of Some Major Researchers whose Work is Highly Relevant to this Study

Dror. Dror (1968:12) described the policy-making process as complex and dynamic. There were different components in the process and each made a different contribution to it. Dror outlined twelve main characteristics in the area of policy making. Policy making was: (1) a very complex process with a great deal of interaction and feedback loops occurring at all levels; (2) a dynamic process with continuous activity taking place within the structure; (3) a process with many components; (4) a process with different contributions; (5) a type of decision making; (6) a process in which major guidelines were laid down; (7) a process designed for action; (8) a process directed at the future; (9) a process carried out mainly by governmental organs; (10) a process which formally aimed at achieving; (11) a process which was undertaken in the public interest; and (12) a process which should be carried out by the best possible means.

Dror (1968:34) also proposed some criteria for measuring the effectiveness of policy: clarity, internal consistency, compatability with other policies, scope in terms of values and time span with which it was concerned, comprehensiveness in terms of the variety of activities

with which it dealt and comprehensiveness in terms of operationalability in the sense of it being concrete enough to be a meaningful guide for action.

Dror (1968:198) stated that public policy was the product of a complex, dynamic interrelationship between the many subpolicies, decisions and subdecisions. Each of these was reached by a complete decision-making process, that was in turn composed of subdecisions down to single decisions made by an individual acting nominally on his own.

Dror's (1968:154) optimal model of public policy making was characterized as follows: (1) the model was qualitative, not quantitative; (2) the model had both rational and extrarational components; (3) the basic rationale of the model was economic; (4) the model was concerned with meta-policy making and included a built-in feedback system. Dror (1968:160) argued that the model could be used in the analysis, evaluation and improvement of the policy-making system when viewed as a dynamic system rather than a collection of separate policy-making units.

The optimal model could be divided into three phases: (1) a meta policy-making stage in which values and problems were processed, resources were developed, a policy-making system could be designed and if necessary redesigned, and a policy-making strategy could be determined.

(2) A policy-making stage in which resources were sub-allocated, operational goals were established with some order of priority, alternative sets of major alternative policies and reliable predictions were proposed, and the benefits and costs of the "best" alternatives were evaluated. (3) A post policy-making stage in which the executing of the policy was motivated, the policy itself was executed and the policy making was then evaluated after the policy had been executed.

Communication and feedback channels occurred at all phases during these operations. In this policy-making process Dror (1968:172) proposed that the process of sub-optimization should be allowed to take place, i.e., policy making should be divided into its component parts, thus gaining the benefits of a specialized approach.

Later Dror (1970) summarized his thinking on this new analytical approach which was now termed policy analysis. In this approach a researcher could: (1) look at problems and alternatives in a broad way or in other words adopt a systems perspective; (2) search for an optimal or at least a clearly preferable way of operating; (3) engage in the explicit and rational identification of preferable alternatives through a comparison of expected results in terms of operational goals; (4) analyze the underlying values, assumptions and strategies of his

project; (5) consider all the major political variables; (6) treat the broader and more complex issues only, (7) emphasize an alternative policy innovation; and (8) introduce a more sophisticated approach to the study of social phenomena.

Lasswell. The policy sciences were concerned, according to Lasswell (1971:1), essentially with a knowledge of the decision-making processes in relation to public and civic order. Lasswell (1971:4) argued that there were three principal attributes which should be taken into consideration in the policy sciences. These were: (1) contextuality; (2) problem orientation; and (3) diversity.

(1) Contextuality was described by Lasswell (1971: 14) as inescapable for a policy scientist. The use of this term indicated that decisions should be seen as part of a larger social process. (2) Problem orientation which Lasswell (1971) interpreted as those intellectual activities involved in clarifying goals and trends. (3) Diversity or a multi-method approach which Lasswell (1971) regarded as a move away from a fragmentary approach.

Lasswell's (1971:15) main concern was associated with the policy scientist's ability to think in a contextual way. This concern was demonstrated by Lasswell (1971) raising questions about what factors a policy

scientist should look for and how a policy scientist should proceed in this regard. Lasswell (1971:24-27) therefore: (1) proposed that the social-process model should be open to whatever degree of specification was deemed pertinent in a given context; and (2) conceptualized the decision-process model as being a map which would provide a guide by which a researcher could obtain a realistic image of the major phases of any collective act.

In utilizing the social-process model Lasswell (1971:24) argued that elaboration of the model would assist in the identification of the following components: the participants, the perspectives, the situations, the base values, the strategies, the outcomes and the effects. In utilizing the decision-process model, Lasswell (1971:27) argued that seven power outcomes were distinguishable. These were: (1) intelligence; (2) promotion; (3) prescription; (4) invocation; (5) application; (6) termination; and (7) appraisal.

Lasswell (1971:86) outlined the criteria for analyzing each of these power outcomes as follows. Criteria for the intelligence function included: dependability; comprehensiveness; selectivity; creativity; and openness. For the promotional function he included: rationality; integrativeness; and comprehensiveness. For the prescribing

function, he included: stability of expectation; rationality; and comprehensiveness. For the invoking function he included: timeliness; dependability; rationality; and non-provocativeness. For application he included: rationality and uniformity. For termination: timeliness; dependability; and comprehensiveness; balance; and ameliorativeness. Finally, criteria for the appraisal function included: dependability/rationality; comprehensiveness/selectivity; and continuity.

For all functions the criteria (according to Lasswell (1971:94)) included the following: a money economy; technical efficiency; honesty; and a reputation for honesty, loyalty and skill of official personnel. By loyalty Lasswell meant commitment to the overriding goals of public policy. He included here other criteria such as: flexibility/realism in adjustment to change; and deliberateness/responsibility.

Milstein and Jennings. In a study of educational policy making in New York, Milstein and Jennings (1973) postulated that the policy-making process should be viewed as a movement from unsatisfactory conditions to greater satisfaction with conditions.

Milstein and Jennings (1973:8) referred to this process as a present/preferred cycle, which included the following stages: (1) a period of dissatisfaction due in

part to a lack of a desired policy or the existence of oppressive policy. (2) Reformulation of attitudes when some new direction, crystallization of attitudes took place and when leaders emerged. (3) Idea formulation where the negative criticism of the aggrieved group was translated into alternatives to the constraining situation. (4) Debate where the scope of involvement was widened to enhance the potential of successfully offering alternatives. (5) Legislation where the formal mechanisms of government were utilized to move the alternatives into law. (6) Implementation when the new law was put into effect. This process then became the responsibility of the executive agencies.

The main purpose of the Milstein and Jennings' study was to analyze the process of educational policy making in New York state. They tried to show how various groups interacted in the development of educational policy. This aspect was the major focus of their analysis.

Dye. Dye (1978:3) regarded public policy as something which governments did, the reasons why they did it and a study of the difference it made. Political science according to Dye was an academic discipline within which the policy researcher described, analyzed and explained public policy. Dye (1978:5) argued that the focus of political science was shifting to public policy

analysis, i.e., to the description and explanation of the causes and consequences of government activity.

Dye (1978:16) believed that social problems were so complex that social scientists were unable to make accurate predictions about the impact of proposed policies. Later Dye (1978:20) suggested that most policies were a combination of the following factors: (1) rational planning; (2) incrementalism; (3) interest group activity; (4) elite preferences; (5) systemic forces; (6) competition; and (7) institutional influences.

Public policies in Dye's view tended to be: (1) regulative; (2) organizational; (3) distributive; (4) extractive; or (4) all of these things at once. Public policy could also be studied for a number of reasons: scientific, professional, or political.

However one of Dye's (1978:295) major concerns was the way in which public policy was generated within a political system. Important questions which Dye raised included the way in which institutions and processes functioned to handle demands generated in the environment. Other questions such as the way parties, interest groups, voters, politicians and legislators behaved in the policy-making process were also considered.

Dye argued that it was important that people should

understand what went on in the little black box he called the "political system."

Gray (cited in Dye, 1978:206) reinforced the idea that the first adopters of most innovations tended to be the wealthier states. Gray also wrote that in addition to wealth, urbanization, education and competition, participation and professionalism were associated with policy innovations.

One final comment of Dye's (1978:309) seems appropriate here. Policy innovation, he stated, appeared to be a product of: (1) professionalism in the legislatures and bureaucracies combined with (2) an educated and politically active population.

Jennings. Jennings (1977) took the position that an outsider could see "more of the game." A detached social scientist would be aware of subtleties and nuances in the environment that he was studying. Contrary to this opinion, was the view that too much detachment could lead to insensitivity and therefore to ignorance. With this as a background, Jennings examined some of the policy-making procedures in selected local education authorities, London, England.

Jennings' special interest was the interrelationship that existed between those who had the political

control and the educational decision makers. The process model of policy making which Jennings (1977:38) proposed consisted of six overlapping stages: (1) initiation; (2) reformulation of opinion; (3) emergence of alternatives; (4) discussion and debate; (5) legitimization; and (6) implementation.

Jennings (1977:8) was particularly interested in the people who made certain decisions. This knowledge he believed would lead to a better understanding of the policy-making process. Policy, according to Jennings (1977:30), was a guide for taking future actions and for making appropriate choices on decisions towards the accomplishment of some desired end. Policies were normative, in that they were statements of what ought to be, thus implying value bases.

Jennings (1977:34) argued that the policies of an authority clarified the direction of community change and development by indicating what was to be done. Jennings (1977:38) conceptualized the process of policy making as a series of steps or stages in which the balancing of professional proposals was weighed against party political interests. This process of policy making was understood to be taking place in an increasingly closed system characterized by political party control.

Jennings held the view that since political party

control was predictable, such control was generally liked. The main value of Jennings' study was that he produced useful information from what had hitherto been a closed world.

In brief, Jennings: (1) showed how the professional administrator related to the party politican; (2) described complex consultative practices that linked them; and (3) analyzed the ways in which power came to be shared between the professionals and the politicians.

Baldridge et al. Baldridge (1978:20) developed a political model of policy making which he stated would supplement the more widely used bureaucratic mode. He proposed that any specific decision making would resemble a political struggle, and therefore the following activities would become apparent: (1) the interest groups that were formed; (2) the influence tactics that were used against decision makers; (3) the coalitions that were constructed; and (4) the legislative bodies that were pressured.

Baldridge (1978:28) also proposed that: (1) if a system was essentially political, then a researcher could expect coalitions to be formed and pressure would thus be exerted on the decision makers; (2) if the system seemed to be essentially collegial, then reason and persuasion could be applied to the members of the system; (3) if the

system seemed to be bureaucratic then legalistic formalities could be used to achieve the desired ends. This analysis implied that a relationship could exist between: (1) the political model; (2) the collegial model; and (3) the bureaucratic model.

However, Baldridge pointed out that the search for an all-encompassing model was simplistic and no one model could delineate the intricacies of the decision-making processes in complex organizations.

In a bureaucratic model, according to Baldridge (1978:44), the leader would be perceived as a hero figure, in the collegial model the leader tended to be a figure primus inter pares and the leader in the political model tended to be a figure who sometimes assumed the role of mediator, negotiator, or person who manoeuvred successfully between power blocs.

Baldridge (1978:34) believed that major policies committed an organization to definite goals by which strategies and the long range destiny of the organization would be determined. In the study of policy in a legislative area, the political scientist would often select legislative acts in congress as the focal point for his analysis, in much the same way as being undertaken in the present study.

Baldridge (1978:35) identified and analyzed elements which he believed to be fundamental to a more complete understanding of the policy-making process. These were the existence of: (1) A prevailing inactivity in which few people were really involved in the actual policy-making process. Baldridge stated that in general the decisions of society were made by small groups of elites. (2) A fluid participation. By this term he meant that people were constantly moving in and out of the decision-making process. Most major decisions were made by small groups of political elites mainly because they were able to invest the necessary time in the process. (3) A fragmentation which would take place into different interest groups with different goals and values. (4) Some conflict which Baldridge called natural and normal would occur.

The model had five major points for analysis. (1) Social structure which included groups with different life styles and political interests. (2) Interest articulation which related to political intervention from external groups. (3) The legislative stage in which conflict was transformed into a politically feasible policy, where in Baldridge's opinion powerful people haggled over the eventual policy, negotiations were undertaken, compromises agreed up and rewards were divided. (4) The formulation of policy stage where all articulated interests

were processed through the conflict and compromise stages. The resulting policy was in Baldridge's view the official climax to the conflict and represented an authoritative binding decision to commit the organization to one set of possible alternative actions. (5) The execution of the policy where the resulting policy would be turned over to the bureaucrats for routine execution.

Summarizing Baldridge's views on policy making, it seemed as if he conceptualized the process as follows: (1) a complex social structure in which multiple structures were generated; (2) a variety of sources and forms of power and pressure that impinged on the decision makers; (3) a legislative stage in which these pressures were translated into policy; and (4) a policy execution phase in which feedback was generated and potential new conflicts were created.

Baldridge (1978:41) proposed that researchers should give more attention to the legislative and decision-making phases in which pressures and power were translated into policy.

One other area which Baldridge considered to be significant was the decision-making elite. Michels (1915) and subsequently cited in Baldridge (1978:75), together with Baldridge argued that most organizations had a decision-making elite. This

elite consisted of senior people in the organization who dominated the decision-making process. The elite group was invariably a small, strong, powerful group who carried out major decision-making activities while the great mass of the organization remained inactive.

The elite group was perceived to be a well-defined group whose characteristics and membership were clearly specified. This group could be seen to be a part of the democratic process, but in practice an elite was able to impose its will and determine policy in certain important areas. The elite group in this study seemed to be people who made the decisions that mattered in the initial stages of Athabasca University's development.

Section IV: Theory Building

The Beginnings of a General Theory of Policy Making

The focus of attention in this section is in the description of theory building, model and theory building per se, and the interpretation of these activities. The section includes a review of some of the main ideas of (1) Mayo, (2) Homans, (3) Becker, (4) Friedrich, (5) Zetterburg, and (6) Hage on theory building.

Homans' rules of theory building. Homans' (1950) approach to theory building is highly relevant to the present study. His intention was to develop general statements about human behaviour that could be used to form more general sociological theories. Elton Mayo (cited in Homans, 1950:16) argued that it was preferable to have a complex body of fact and a simple theory, i.e., a working hypothesis rather than a simple body of fact and a complex theory.

Homans (1950:16) therefore proposed some guide lines for theory building. A theory in his view was one way in which the results of observation could be expressed. Rules of theory building according to Homans can be summarized as follows: (1) look first at the obvious, the familiar and the common in a science that has not yet established its foundations these are the things that pay best results; (2) state the obvious in its full generality as science is an economy of thought only if its hypotheses sum up in a simple form a large number of facts; (3) talk about one thing at a time, see that the concepts refer not to several classes of fact at the same time, but to one and only one, and always use the same word when referring to the same thing; (4) cut down the number of things being talked about; (5) describe systematically the relationships between the facts designed by the work; and (6) always analyze in the abstract.

Becker's approach to theory. Becker (1958) argued that the final stage of analysis in a field study consisted of incorporating individual findings into a generalized model of the social system or organization under study or some part of that organization. His argument included reference to a theoretical model which would help to explain particular social facts and their involvement in a complex of interconnected variables. Becker argued that in the final stage an observer would design a descriptive model which would best explain the data he had assembled.

Friedrich's definition of theory. Carl Friedrich (1963) defined theory, as distinguished from philosophy and opinion, as the more or less systematized body of demonstrable or at least coherently arguable generalizations based upon a rigorous analysis of ascertainable facts.

Zetterburg's interpretation of theory. Zetterburg (1965) perceived theory as an interrelated set of propositions. He argued it was possible to explain a relationship between two or more concepts, which he defined as primary language units, by these propositions.

The saving quality of a theory was in Zetterburg's opinion the fact that it was possible to coordinate many methodologically imperfect findings into a whole in

the form of a small number of information packed sentences. Propositions were the central element of theory according to Zetterburg (1965:22). He argued that theory was a series of systematized, organized law-like propositions that could be supported by evidence. Zetterburg (1965:28) further proposed that the main task of the sociological theorist was the discovery of these general propositions. From this discovery deductions could be made that certain variates were related to each other in these propositions, e.g., the more knowledge a man has, the higher his prestige. Zetterburg (1965:65) believed also that propositions with two variates were acceptable as intermediary steps in theory construction even if they did not tell the whole story. Once propositions were formulated, amendments and improvements could be made to them.

Hage's approach to theory construction. Hage (1972: 148) adopted a synthetic approach in theory building. This was an attempt to reconcile and blend different theories in which similar phenomena were treated. Hage (1972:16) had stated that a sociological phenomenon was incredibly complex and therefore any intellectual strategy that helped to recognize this fact was useful. He argued that there had been an increase in the number of attempts to organize sociological facts into some coherent theoretical statements or theory. He also argued (1972: 34) that however much it was possible to describe social

phenomena with a theoretical concept, it was not possible to use this strategy to make explanations or predictions.

Therefore to explain or predict, Hage reasoned that a theoretical statement or a connection between two or more concepts was needed. Some of the names for these theoretical statements were, in Hage's view, confusing and bewildering. Hage compiled the following list as an example: (1) hypothesis; (2) proposition; (3) axiom; (4) postulate; (5) assumption; (6) premise; (7) corollary; and (8) theorem, each of which had some subtle difference in meaning.

Zetterburg (cited in Hage, 1972:35) described an hypothesis as an unconfirmed theoretical statement whereas a proposition was one well substantiated by evidence. According to Hage (1972:35) it seemed preferable to use a neutral term such as theoretical statement and thus avoid the complexities of using the eight terms listed above. Hage (1972:54) later proposed that the main purpose of empirical research was not to prove statements as true, but to discover statements that were worth researching.

There was general agreement, in Hage's (1972:172) view, that a theory was a set of propositions or theoretical statements. These could be explained in terms of: (1) a path diagram; (2) an axiomatic theory; or (3) even a simple hypothesis, but the majority of theorists would agree that

it had to be more than just a concept or even a set of concepts. The concepts had to be connected.

Developing theoretical statements meant that the researcher had now moved from the more simple descriptive stage to the analytic stage, and Hage (1972:173) stated that when two concepts were connected in some way, predictions and explanations could be made, even though these might be at a very elementary level. A theory therefore could be considered as reasonably complete if it contained concepts, definitions, statements and linkages.

In Hage's (1972:182) opinion, sociological theories should be considered as models of social reality. Hage (1972:186) argued that theories were never completely true or false, but that they were partly true part of the time. A theory was only an approximation and it remained something which was never completely right or wrong. There was a constant need to strive to improve these theories. Hage argued strongly that in theory construction it was necessary to construct syntheses, i.e., different theories and ideas should be combined with each other. Eventually as this process of theory construction continued Hage (1972:187) believed that it would be possible to move closer to the limit of perfect knowledge, or in his words, truth itself. At least he said, it would be possible to move towards an accurate picture of the sociological

component of social reality.

Summary

A selection of some of the arguments and main ideas of some leading theoreticians in the social sciences on the topic of theory building was reviewed in the previous section.

Mayo (cited in Homans, 1950:16) took the position that it was better to have a complex body of fact and a simple theory than a simple body of fact and a complex theory. Homans (1950) stated that a researcher should look first at the obvious and the familiar. Becker (1958) suggested that a descriptive model should be designed in which the assembled data could best be explained. Zetterburg (1965) argued that systematized propositions which could be supported by evidence were the central element of theory. Hage (1972) favoured a synthetic approach, in which different theories and ideas were combined. The utilization of theoretical statements or propositions meant that the researcher could move from the descriptive to the analytic stage and in addition could give the researcher the potential of explanation of prediction. Hage's argument was that the purpose of empirical research was not to prove statements as true or false but to discover significant areas of interest that were worth researching.

Section V: The Case Study

The Case Study: Some Research Findings

The case study now is often the preferred method in social enquiry studies. Stake (1978:5) argued that case studies were preferred because they were epistemologically in harmony with the reader's experience and thus they were a natural basis for generalization for that person.

Shaw (1978:2) believed that case studies were useful in research because attention could be focused on the way particular groups of people dealt with specific problems. Shalala (1973:16) stated that a case study provided the means of an analytic understanding of: (1) the decision-making process; (2) the organizational and political framework; and (3) the substantive policy problems which were to be found "in a slice of government life."

The type of study most frequently carried out in the field of political science was the case study according to Eckstein (cited in Greenstein and Polsby, 1975:79). Eckstein classified case studies as follows: (1) clinical in which interpretative findings were presented; and (2) heuristic in which the researcher tried to arrive at some preliminary theoretical constructs. Eckstein (cited in Greenstein and Polsby, 1975:107) also referred to grounded

theory (cf. Glaser and Strauss, 1967), which he said was identified more with comparative enquiry than a case study approach. Grounded theory was, in his opinion, initially derived from observations and not developed from logic and imagination.

Blau (1955:302) also outlined some advantages of the case study method, e.g., social processes could be examined more directly in a case study. The case study approach according to Blau was: (1) more likely to yield reliable and systematic data than other methods; and most important (2) it was possible in utilizing a case study approach for the researcher to shuttle back and forth between the analysis and data gathering stages.

Hofferbert (1974:89) described a case study as an in-depth examination of a particular instance of something. It presented a detailed rendition of a particular dynamic instance. The case study told a story. Hofferbert (1974: 138) pointed to the strengths of the case study method in terms of the richness of detail and lucidity with which it could illuminate the dynamics of the policy-making process. He also argued that case studies had the potential of generating important hypotheses which could be tested later. All of these ideas can be related directly to the present study.

The case study could however be challenged on the grounds that: (1) it could be insufficiently representative

of the total process; and (2) problems could be found in the selection and the filtering of data. Nevertheless, the case study method has now become accepted as one of the standard approaches in studying policy-making processes.

Section VI: The Development of Empirical Findings Through the Analysis of a Single Case

The focus of attention in this section is on the literature in which the development of generalized statements based on only an intensive internal analysis of one particular instance is considered.

The term generalizing analysis had been developed by Lipset, Trow and Coleman (1970:169) to describe this process. They had pointed out that the social scientist in this kind of analysis attempted to utilize one particular case to develop more general statements. Lipset, Trow and Coleman stated that empirical generalizations or theory could be developed in this way through the analysis of a single case. This in fact was the second specific task in this study into the origins of Athabasca University. Lipset, Trow and Coleman (1970:172) argued further that the aim of their study was to make statements about political systems as wholes, not statements about the determinants of individual vote decisions.

The second specific problem in this study was

one of developing more generalized statements about the policy-making process based on an analysis of the establishment of Alberta's fourth provincial university. The approach developed in this study was a combination of the two methods initiated by Glaser and Strauss (1967) and Lipset, Trow and Coleman (1970). These were: (1) an internal analysis; and (2) a comparative analysis. Lipset, Trow and Coleman suggested that this type of analysis could lead to a deeper understanding of the phenomenon being studied and so to more fundamental generalizations.

However in the conclusion of their statement, Lipset, Trow and Coleman indicated that they had not attempted to give any answers to these problems, but only to state them in the hope that this would stimulate a search for the answers.

Furlong and Edwards (1977) argued that because a researcher was greatly influenced by the theory he was looking for, it was not surprising that he found it and nothing else. The dissatisfaction expressed by them towards the traditional theory-oriented research is balanced by the alternative which they proposed. Furlong and Edwards (1977:123) stated that in their opinion ethnographic research was more acceptable. They believed that in an ideal situation ethnographic researchers completely rejected the systematic observers' insistence on knowing precisely what to look for. Furlong and

Edwards' approach therefore was to adopt a "catch what you can approach" making little or no attempt to control or ignore irrelevant variables. Any categorization that was to be undertaken would be done retrospectively, that is, in forms derived from the data.

The position which Furlong and Edwards adopted was therefore one of maintaining a balance between: (1) an objective description where the researcher was perhaps naively unaware of his own selectivity; and (2) following a theory and selecting observations which would support his own view. The difficulty with observational work of this kind is one of maintaining a balance between: (1) a guiding perspective with no more than a focus and some general questions; and (2) a set of preconceived ideas in which relevancies in concepts and hypotheses were dictated prior to the research (Glaser and Strauss, 1967:33).

Kennedy (1978) stated that there were no generally accepted ways for drawing inferences about the generality of findings from case studies. The rules as to what constituted a reasonably sound inference were, according to Kennedy, ambiguous relative to the rules as to what constituted a sound statistical inference. Inferences drawn from generalizations were always tentative and never conclusive.

One way of solving this seemingly insolvable logical problem was to develop some alternative concepts which would give some degree of precision to the inferences. Kennedy (1978:4) proposed one concept, "strength of generalizability," in which it was suggested that generalization was a judgement of degree. The evaluator might wish to generalize but not to any particular population. In the present study, concerned with developing some generalizations and conclusions based on an analysis of certain identified events, the researcher would want to have his findings apply as much as possible to other similar situations.

Kennedy (1978:12) argued that the advantage of a single-case methodology was that it forced the evaluator to look at the functional relationships between the key components in a study. She compared educational research, with legal and clinical research, arguing that in both legal and clinical fields generalizations were frequently necessary from single case studies.

Kennedy (1978:20) referred to Small and Krause (1972) who had earlier identified three criteria for inclusion in a clinical report. These were: (1) longitudinal information; (2) a multidisciplinary approach, referring to representation of a variety of specialities and perspectives; and (3) precision in description rather than imprecise or vague terminology.

Kennedy (1978:22) stated that: (1) this kind of approach seemed appropriate in the field of education; and (2) it was no trivial matter to embark on a new course for which the rules of inference had not been established, a point with which this writer would agree.

CHAPTER 3

RESEARCH PERSPECTIVE AND METHODOLOGY

Introduction

The research perspective for this study was derived from a synthesis of the literature reviewed in the previous chapter. The perspective was focused on the following seven areas around which the study was framed.

1. A grounded-theory approach applied to this study of the genesis and evolution of Athabasca University.
2. Policy analysis studies applied to this study of the genesis and evolution of Athabasca University.
3. Problems associated with making generalized statements about the policy-making process through the analysis of a single case.
4. The methodological approach.
5. Methodological problems in the naturalistic/qualitative/phenomenological approach.
6. A rationale for the methodological approach.
7. Definitions of terms.

A Grounded-Theory Approach Applied to this Study of the Genesis and Evolution of Athabasca University

The research perspective adopted for this study was based on the grounded-theory approach of Glaser and Strauss (1967) and Glaser (1978) (see Figure 1, p. 10). This approach was primarily concerned with the generation of some generalizations and conclusions derived from the qualitative data obtained in the study. The perspective was also consistent with an inductive scientific method which involved inference from the particular to the general.

The Grounded Theory Method

The method used for this study was inductive. It was based on data obtained from: (1) interviews; (2) document searches; (3) some observation and concluded with the empirical generalization of some theoretical propositions. The major strategy utilized in this study was a comparative analysis approach (Figure 2) in which concepts and propositions were generated and the key ideas were interrelated. It can be seen that there were four distinct stages in the evolution of Athabasca University. These four stages were analyzed for any similarities and differences which may have existed in the administrative styles between the various ministers and their deputy ministers in each of the four successive stages.

Glaser (1967:169) argued that the search for useful

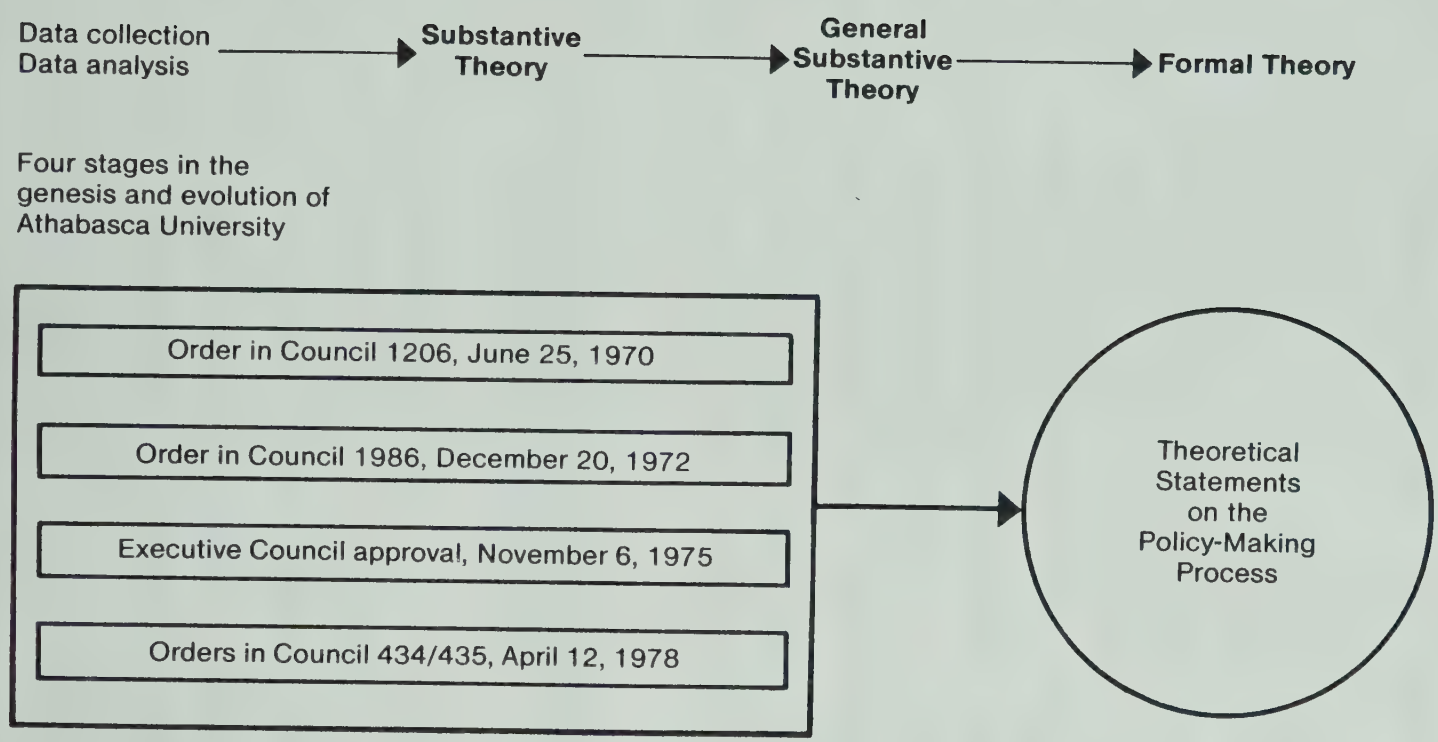

Figure 2. An analysis of the policy-making process under the rubric of a grounded theory approach, Glaser and Strauss (1967), Glaser (1978)

comparison of groups was essential to the generation of theory. The eventual goal of this exercise was the production of substantive theory in a specific content area.

The generation of these theoretical propositions was guided initially by a synthesis of the views of some of the researchers in the area of policy analysis. However as the study continued it was apparent that relying on policy analysis alone as the major theoretical framework was inadequate. By combining the views of the policy analysis researchers with those of Glaser and Strauss (1967), Becker (1958), Zetterburg (1965) and Hage (1972) the study was conceptualized as an exercise in political sociology.

The Application of Policy Analysis Studies to the Genesis and Evolution of Athabasca University

From the extensive review of the literature in the area of policy analysis it became apparent that there were a number of studies in particular which had a direct bearing on the way the present study into the genesis and evolution of Athabasca University was carried out.

A further selection was made including three other researchers whose findings seemed highly relevant to this study. The interview technique was successfully applied by Campbell and Mazzoni (1976) in their study of the

actual policy-making process for public schools at the school level. A similar approach was adopted by Jennings (1977) in his study of the interrelationships between the politicians and the local education authorities. The methodology adopted in these studies was the modus operandi of the present study.

Alba and Moore (1978) and Braungart (1978), in their studies of the policy-making process, focussed on the informal networks which exist in policy-making circles. This emphasis required the painstaking identification of key influentials through a reputational study approach. Again this was achieved by interview techniques.

Finally, the interpretation of the present study was expected to draw upon the insights of numerous policy analysts. An inductive approach was adopted by Mansbridge (1978) to describe the way in which new policies emerged in social welfare policy in Alberta. As was also expected in the context of the present study, several distinct phases in the policy-making process were identified by Mansbridge (1978).

In similar vein, it has been proposed by Baldridge (1978) that the development of an all encompassing model was too simplistic an approach in the study of policy making. Baldridge (1978) proposed a synthetic approach arguing that the intricacies of the decision-making process

in complex organizations would not be delineated in any one model.

Problems Associated with Making Generalized Statements about the Policy-Making Process Through the Analysis of a Single Case

There are problems associated with making generalized statements about the policy-making process based only on an intensive internal analysis of one particular instance. Lipset, Trow and Coleman (1970) used the term "generalizing analysis" to describe this process. They pointed out that they had not really solved this question but were still in the process of defining problems associated with it.

Glaser and Strauss (1967:80) and Glaser (1978:145) had stated earlier that formal theory could be generated by two rewriting techniques: (1) the researcher simply omitted substantive words, phrases or adjectives; (2) the researcher wrote a substantive theory up a notch. The researcher thus changed the focus of attention from a substantive to a more formal level.

The Methodological Approach Used in this Study

Methodology Used in This Study

The methodology used in this study was a case analysis approach. No hypotheses were developed in the

initial stages of the study, but when sufficient data were gathered, an attempt was made to develop some generalizations on the policy-making process following the grounded-theory approach of Glaser and Strauss (1967) and Glaser (1978).

The pros and cons of the case study approach have been described by many researchers, but in particular Blau (1955), Eckstein (1975), Hofferbert (1974), Shalala (1973) and Shaw (1978) have all argued convincingly about the strengths of this approach.

The Inductive Approach

The research methodology followed in this study was essentially a positivistic inductive approach. This meant that the researcher proceeded from instances of the particular to the general, from studying and ascertaining facts related to the problem area to understanding them and then to ideas. This method was highly regarded by some researchers who felt that the only valid scientific way to investigate a problem was by exact observation of the relevant facts and phenomena.

Another term to describe this basic method, in which the main emphasis is on an understanding of facts and phenomena, is empirical induction. When sufficient facts had been gathered the researcher moved from the stage

of empirical observation to the construction of theoretical statements. The researcher was involved in the process of theory construction.

In support of the case study approach adopted in this study, Furlong and Edwards (1977) held the view that it was possible to pinpoint critical processes and identify common phenomena through the detailed study of one particular context.

Kennedy (1978) proposed that some alternative concepts ought to be developed, e.g., strength of generalizability. This approach seemed to indicate that the whole question of generalizing was essentially a matter of judgement. Kennedy (1978) advocated the single case methodologically, stating that it was acceptable in legal and clinical circles.

Kennedy's (1978) argument was based in part on the earlier work of Small and Krause (1972) who had argued that generalizations were possible provided the study: (1) was sufficiently longitudinal in nature; (2) adopted a multidisciplinary approach; and (3) was presented using a precise terminology.

In terms of the Small and Krause (1972) criteria, therefore, the present study of the development of Athabasca University presented a suitable case in which to study

the policy-making process. The decision to adopt a case study approach carried with it the acceptance of the inductive scientific method.

In view of the uniqueness of the Athabasca University situation and the intricacies of the policy-making process a detailed descriptive analysis of the incidents which led to the establishment of the university was deemed more appropriate than the application of an *a priori* conceptual framework. Consequently, a field-oriented ethnographic approach was adopted as the only suitable methodology for the present study.

Empirical induction, though highly regarded by some, was viewed with disfavour by others such as Popper (1975), who believed that the inductive method was quite unsatisfactory from a scientific or a research point of view. Popper (1975:34) had rejected the inductive method completely because he felt that it did not provide a suitable distinguishing mark of the empirical, non-metaphysical character of a theoretical system; or in other words that it did not provide a suitable criterion of demarcation.

In contrast to these comments Feyerabend (1966) argued that scientific discovery was essentially an anarchistic, even serendipitous practice. This approach is borne out by the present study into the development of

Athabasca University for the outcomes in the study were not finalized until all the data had been gathered and impressions realized. Schatzman and Strauss (1973:7) similarly argued that it may have seemed unbecoming to say that a researcher created his own method as he worked, but that is in fact what happened.

In this study of the genesis and evolution of Athabasca University, the method utilized was essentially one of interviewing selected key personnel, requesting these people to nominate other persons whom they considered to be influential in the university's development and then confirming their comments by referring to information obtained from a search of the appropriate documents. This process was repeated until a saturation point had been reached.

Many researchers in education (Ball, 1977; Cronbach, 1977; Guba, 1979a, 1979b; Lutz and Ramsey, 1974; Nagel, 1977; Overholt and Stallings, 1976; Rist, 1979; Schatzman and Strauss, 1973; Scribner, 1977; and Tunnel, 1977) are now convinced that there is some need for a different type of research strategy other than the quantitative mathematical-statistical research approach which has for so long dominated the educational scene. They have all indicated the usefulness of the qualitative field-oriented approach in educational studies particularly in raising

issues for further study using a quantitative approach. This argument has been borne out by the development of some of the topics for further research which have been listed in the section on the implications of this study.

Finally Rist (1977:44) has stated that the researcher should not begin with models, hypotheses or theorems but rather with the understandings of frequently minute episodes. This is precisely the methodology that was adopted in this study. Numerous incidents were recorded, analyzed and from these minute episodes a larger model of the policy-making process was developed.

Sources of Data and Data Collection

The data used in the study were obtained from two main sources: (1) semi-structured interviews which were taped and later transcribed; (2) documentary materials which included, (a) official correspondence, (b) minutes of meetings, (c) reports, (d) position papers and briefs, (e) memoranda, and (f) official publications.

Forty-five semi-structured interviews were conducted, and these allowed the subject area to be researched in some depth and detail. After sufficient rapport had been established with the interviewees, a great deal of cross-checking and probing ensued. In spite of these obvious advantages, the interview method did prove to be:

(1) costly; (2) very time consuming; and (3) sometimes very inconvenient.

Identification of Interviewees

The technique followed in identifying those to be interviewed has been described by McCall and Simmons (1969). They referred to three types of sampling in their field studies: (1) the quota sample; (2) the hypothesized variable; and (3) the snowball sample. In the snowball sample used in this study, the researcher utilized selected information which directed him to certain persons, in much the same way as the procedure used in a reputational power study.

Utilizing this approach selected other persons were then identified and interviewed. These persons then identified others who were subsequently interviewed and so on. The process was repeated until a saturation point had been reached in the data gathering process.

Simultaneously a document search and a direct observational study of the area was instigated. This triangularization process involving three techniques ensured, according to Rist (1979), the credibility and validity of the study. The data thus obtained from: interviewing the selected legislators, administrators and educators was analyzed in conjunction with the

information obtained from the document search and the direct observations.

Guba (1978:61) has proposed that some new terminology would be more appropriate in qualitative research than the classic criteria of authenticity, validity, reliability and objectivity which are currently under review. Instead of measuring qualitative data in terms of validity, reliability and objectivity, Guba (1978:61) has introduced the ideas of adequacy, replicability, impartiality and fairness, which would seem to be far more appropriate in naturalistic enquiries.

Methodological Problems in the Naturalistic/ Qualitative/Phenomenological Approach

Guba (1978:58) has also outlined some of the methodological problems associated with an enquiry of this type. Guba cited three major methodological issues (see Figure 3): (1) where should the boundary lines be drawn around the research project; (2) upon which aspect of the topic should the researcher focus; and (3) how should the study be authenticated? Guba's analysis of these problems was a precise and accurate description of the way this present study unfolded. First, Guba pointed to known areas that were within an ill-defined boundary, then he showed how these known areas were extended, and how the bridging of information

Figure 3. Representation of divergence strategies: extending, bridging and surfacing, Guba (1978:58)

occurred between these areas. Finally Guba referred to pockets of significant information which surfaced, and which had to be fitted into the total picture. This appraisal was an exact description of the scenario of this study.

A Rationale for the Methodological Approach Used in this Study

The rationale for this type of study has been most eloquently set out by Furlong and Edwards (1977:123) who suggested that it was possible to clarify relationships, pinpoint critical processes and identify common phenomena through the detailed study of one particular context. The study was an investigation of the elite groups, influential persons and informal networks who were considered to be decisive in formulating policy which resulted in the establishment of a fourth provincial university.

The study should therefore be of interest to: (1) those who are directly involved with this institution; and (2) those who are interested in the political processes that take place at the cabinet level of the provincial legislature particularly in regards to educational matters.

In brief, it was possible to obtain from the resulting data: (1) a picture of how one institution developed; and (2) some theoretical statements regarding

the policy-making processes.

Definition of Terms

ACCESS: An acronym originally meaning the Alberta Communication Centre for Educational Services and Systems. The acronymic sense is no longer in use, and the term is now used primarily to identify the Alberta Educational Communications Corporation.

Accessiversity: A proposed institution which would have been similar in many respects to an open university had it been built. The concepts of an Accessiversity and an Alberta Academy were realized when Athabasca University was eventually established (Worth Report, 1972:86-98).

Alberta Academy: A proposed institution which would have been similar in many respects to Athabasca University. The institution would have been operated by the Department of Advanced Education if it had been established (Worth Report, 1972:98).

A Posteriori: A type of reasoning in which propositions are derived from observations or experience of facts. An inductive or empirical process based on observation or experiences. (Opposed to a priori.)

A Priori: A type of reasoning in which definitions based on assumed principles are developed. A deductive process based on theory. (Opposed to a posteriori.)

Athabasca University: Alberta's fourth provincial university and the only open university in Canada. Athabasca was established by the Government of the Province of Alberta to provide learning services for adult citizens of Alberta. This mandate has now been extended to include all the provinces and territories. The university operates through a diversified delivery system including distance education and opportunities for home based study.

Authoritative decision-making activities: The political activities and decisions which take place within a legislative assembly or parliament. Political ideas are finally realized and given legitimacy by these activities.

Conceptualization stage: The initial period in the process of policy evolution. This was the period when a mental impression was formulated of the way in which the policy process would finally eventuate.

Conversion process: The process of transforming the idea into a fact. The conversion process occurred in this case study between the external educational

environment and the internal governmental influences, and the internal government influences and the Legislative Assembly.

Decisions—administrative/educational/political: Judgements or conclusions which were reached or given. In this study most decisions were: (1) administrative; (2) educational; (3) political; or (4) a combination of all three.

Demographic imperatives: Compelling or necessary features which were related to the distribution and density of the population. The implications of this concept became crucial when the site for Athabasca University was being considered.

Dynamics of policy making: The way in which economic, moral, physical, political and social forces operated in the field of policy making. It also included the way in which these forces shifted or changed in relation to one another.

Elite group: In this case study a select group of five leading provincial educators who were involved in making the initial policy decisions. The group was mainly responsible for the key decisions which led to the eventual establishment of Athabasca University. They were, of course, involved in

numerous other crucial decisions. The group were described in a non-pejorative way as the "Back-room Boys."

Ethnographic investigation: Ethnography, a term which was introduced by Bronislaw Malinowski (1922). The term was used to indicate that branch of anthropology in which cultures were described in a descriptive manner. More recently the enquiry paradigm for a naturalistic investigation has been labelled ethnographic, meaning in this case an in-depth description of a particular subculture.

Evolution of policy: The emerging of a particular course of action by government. In this case the emerging policy is social policy and more specifically is exemplified by the establishment of Alberta's fourth university.

Examination, review and approval system: The process whereby a political idea is screened or subjected to a rigorous scrutiny by a series of committees at different levels. These levels include the various committees in caucus and the cabinet which are brought into play before an idea is accepted and becomes part of government policy.

External educational environment: The term used in this study to describe the grouping of five educational interest groups who were most active in preliminary discussions which led up to the establishment of a fourth provincial university. These interest groups were categorized as follows: (1) the Universities Commission; (2) the University of Alberta; (3) the Commission on Educational Planning; (4) supporters of an open university concept; and (5) supporters of an accessiversity concept.

Formal theory: An explanation of a concept in its full generality developed for a formal or conceptual area of sociological enquiry such as: socialization, authority and power, organizations (Glaser and Strauss, 1967:32; Glaser, 1978:52).

Formalization stage: The period when the project assumed a definite shape and existence. The period culminated in the first of the Orders in Council 1206/70, June 25, 1970.

General substantive theory: An explanation which comes midway between substantive and formal theory. It is more general than substantive theory, but not completely general as formal theory. It is an explanation of a general substantive area such as public policy making. General substantive theory

may be generated by making comparisons with different cases from within the same general area (Glaser, 1978:52).

Grounded theory: A term used to describe theory which has been systematically obtained from social research. Grounded theory may be contrasted with logico-deductive theory. It is considered by its proponents to be more successful than theories which are logically deduced from a priori assumptions. Grounded theory is inductive which means that the theory is induced after the data collection has been commenced (cf. Homans, 1950:18, Glaser and Strauss, 1967:2 and Eckstein, 1975:107).

Human resources development: An idea promoted and developed by the Social Credit government during the late 1960's. The main concern with the human resources development idea was to do with the human values and human needs. Human resources were regarded as more important than physical resources. The idea of the human resources development idea was formally sanctioned by the establishment of the Human Resources Research Council on March 30, 1967.

Implementation stage: The period commencing June 25, 1970 and concluding April 12, 1978. During this period the formative plans were carried out, executed and

Athabasca University was established.

The inductive method: A process of reasoning by inferring from particular facts to general principles. In this study the process of inferring from the numerous facts relating to the establishment of Athabasca University led to more general statements about the policy-making process.

Informal interaction: Meetings of mutual interest conducted on an irregular and unofficial basis; because of the nature of these meetings it was impossible to document them.

Informal networks: Interconnected communication structures organized on an irregular and unofficial basis. These networks provided a highly effective form of communication for the people who were connected with them.

Ingroups, inside groups: A social group possessing a more intense sense of solidarity or community of interests than some other types of social groups.

Internal governmental influences: The term used in this study to describe the power structure which consisted of three discrete groupings. These groups were: (1) the ad hoc committee or the elite group; (2) the minister and the deputy minister; and

(3) the executive assistants or special consultants.

Naturalistic investigation: A type of investigation which is the converse of experimental enquiry. It is a form of research in which discovery and verification through observation are the main objectives. The modus operandi of the naturalistic investigator may be: (1) ethnographic; or (2) phenomenological; or (3) investigative sociology. Naturalistic investigation is essentially concerned with real stories told by real people in a real and natural way.

Order in Council: An example of subordinate legislation issued for a particular situation and made by a body other than the Sovereign in Parliament. Other examples include: regulations; rules; bylaws; and municipal ordinances.

Phenomenological investigation: An investigation which is concerned with the study of phenomena without any attempt at metaphysical or scientific explanation. This type of investigation involves: (1) observation; (2) description; and (3) analysis of the structures, properties and interrelations of phenomena as they are perceived by the subject.

Pilot project: A small scale approach or trial period in experimenting or testing a particular plan.

Policy: A definite course of action selected by government from among alternatives and adopted as advantageous or expedient.

Progressive Conservatives: The Tories, one of the "older" Canadian parties. They are very similar to the Liberals in most respects. Both parties accept (1) the federal system, (2) the parliamentary system, (3) the party system, (4) the monarchy, (5) the basic freedoms, (6) broad welfare programs, and (7) are non-separatist. The differences between the two main parties these days seems to be illustrated by the Liberal approach for a strong central federal government which can keep provincial demands in check. The Conservatives on the other hand, seem to be in favour of allowing the provincial governments the right to assert themselves more strongly.

Qualitative methodology: A term referring to research strategies which include such activities as participant observation, in-depth interviewing and total participation in the activity being investigated. These strategies allow the researcher to get close to the data.

Social Credit: One of the "minor" parties, but most successful in retaining power in the Alberta Legislature 1935-1971. The party, essentially conservative in nature, believed in an authoritarian approach with an emphasis on free enterprise and individual liberty. Recently it has been suggested that the party's best interests will be served if it continues to be a small-c conservative, issue-oriented party, still with a clear social philosophy.

Substantive theory: An explanation about a specific area developed for a substantive or empirical area of sociological enquiry such as: race relations; professional education; delinquency; or research organizations (Glaser and Strauss, 1967:32; Glaser, 1978:52).

Top policy decisions: Decisions made by the top educators, legislators, and administrators. In this case, the term refers to the Minister, the Deputy Minister of Education, the Commissioner for Educational Planning and the chairmen of the Universities Commission.

The Whizz Kids: A term used in a non-pejorative sense to describe a group of five young executive assistants. They included: (1) the Special Consultant to the President of the Executive Council; (2) three

executive assistants to Cabinet ministers; and (3) a Social Credit Party functionary. The group was regarded as advisors to cabinet ministers by some, but by others they were referred to as the hidden government.

Summary

The research perspective for this study was based on an ethnographic inductive approach. The initial perspective was developed utilizing the grounded-theory approach of Glaser and Strauss (1967) and Glaser (1978) who had argued that theory had to be grounded in data. Comparisons with this method were also made to the work of Lipset, Trow and Coleman (1970) who had developed a similar approach which they termed generalizing analysis.

While the methodological approach of the study was guided initially by the work of the researchers previously mentioned, the focus of attention in the substantive issues was guided initially by reference to some of the research in the area of policy analysis. A selection of policy analysts was made and the modus operandi and particular interests of these researchers whose work seemed appropriate to this study were utilized; e.g., some researchers specialized in identifying and analyzing cliques and informal networks, others emphasized the

importance of the elite group in society.

The research perspective was developed and expanded in such a way that the two problems in the study were analyzed concurrently. These problems were: (1) to examine the genesis and evolution of Athabasca University; and at the same time, (2) to develop some generalizations about the policy-making process based on the data discovered in the first problem area.

To achieve these two goals the investigation was conceptualized as a case study within a specified time frame. Forty-five interviews were conducted. This research technique did have certain advantages, in that a detailed study of the related events which led up to the establishment of Athabasca University could be made, but at the same time the interview approach had certain disadvantages; it was: (1) very time consuming; (2) expensive; and (3) at times inconvenient.

However as a result of these interviews and the supporting document search it was possible to describe the origins of Alberta's fourth provincial university and to suggest proposals for further discussion and analysis.

This in summary was the research perspective and methodology adopted for this political sociological study; a study which was developed to illustrate: (1) the real

world of policy making; and at the same time (2) to develop a more general theory of policy making.

Chapter 4

CHRONOLOGICAL REVIEW OF MAIN EVENTS

Introduction

Athabasca University was formally established on June 25, 1970 but the origins of this university may be traced to events well before this date. Some of the relevant background facts are as follows: (1) between the years 1896-1913 more than one million immigrants had settled in Western Canada; (2) by the late 1920's and early 1930's new political movements were appearing in North America.

One of these political movements was the Social Credit League in Alberta, a party which traced its origins to Major C. H. Douglas and England of the 1920's. It was a party, which, according to Irving (1974:ix), illustrated in eminent degree the social context in which democracy functioned under stress. It was a party in which it was argued that the state existed solely to promote the individual's welfare, freedom and security. Furthermore, it was a party which Bettison et al. (1975:1) described as Alberta's answer, in non-socialist terms, to the social conditions of the 1930's.

It is proposed in this dissertation to describe and analyze the genesis and evolution of Athabasca University. As the formal establishment of the university on June 25, 1970 took place in the closing stages of the Social Credit League period of administration, some of the main features of the Social Credit government at this time will be outlined.

The Social Credit League under William Aberhart had been in office since 1935. On May 31, 1943 Mr. E. C. Manning, since 1970 Senator Manning, succeeded Aberhart as Premier of Alberta. Manning was then the premier for twenty-five years but on December 12, 1968 he chose to retire. According to informed sources it is suspected that Manning foresaw the demise of Social Credit in Alberta due in part to the rapidly changing economic and social conditions, and that he felt it would be an opportune time for him to retire from provincial politics. Manning's successor was Harry E. Strom who held office as Premier of Alberta from December 12, 1968 until September 10, 1971, following the defeat of the Social Credit government in the election of August 31, 1971. The Social Credit League had thus been in control in Alberta for thirty-six years (1935-1971).

An Overview of the Four Stages of Development of Athabasca University

Within this case study of the genesis and evolution of Athabasca University, it has become clearly apparent that there were in fact four distinct stages of growth and development in the university's history (see Figure 4). Each of these four stages is treated where possible as a separate and discrete case study within the one major case. The four situations are analyzed to see if there are any differences and similarities among them. Where possible the differing roles and administrative styles of the ministers, the deputy ministers, the members of the Universities Commission and the members of the Department of Advanced Education and Manpower are analyzed and compared.

It is felt that it should be pointed out at this stage of the review that the story of the genesis and evolution of Athabasca University is essentially the story of a few key personalities and their commitment to this project. The review which now follows, mainly impressionistic in nature, is their story.

Stage I: June 25, 1970-August 31, 1971

The period from June 25, 1970 to August 31, 1971 and the years immediately preceeding were marked by some

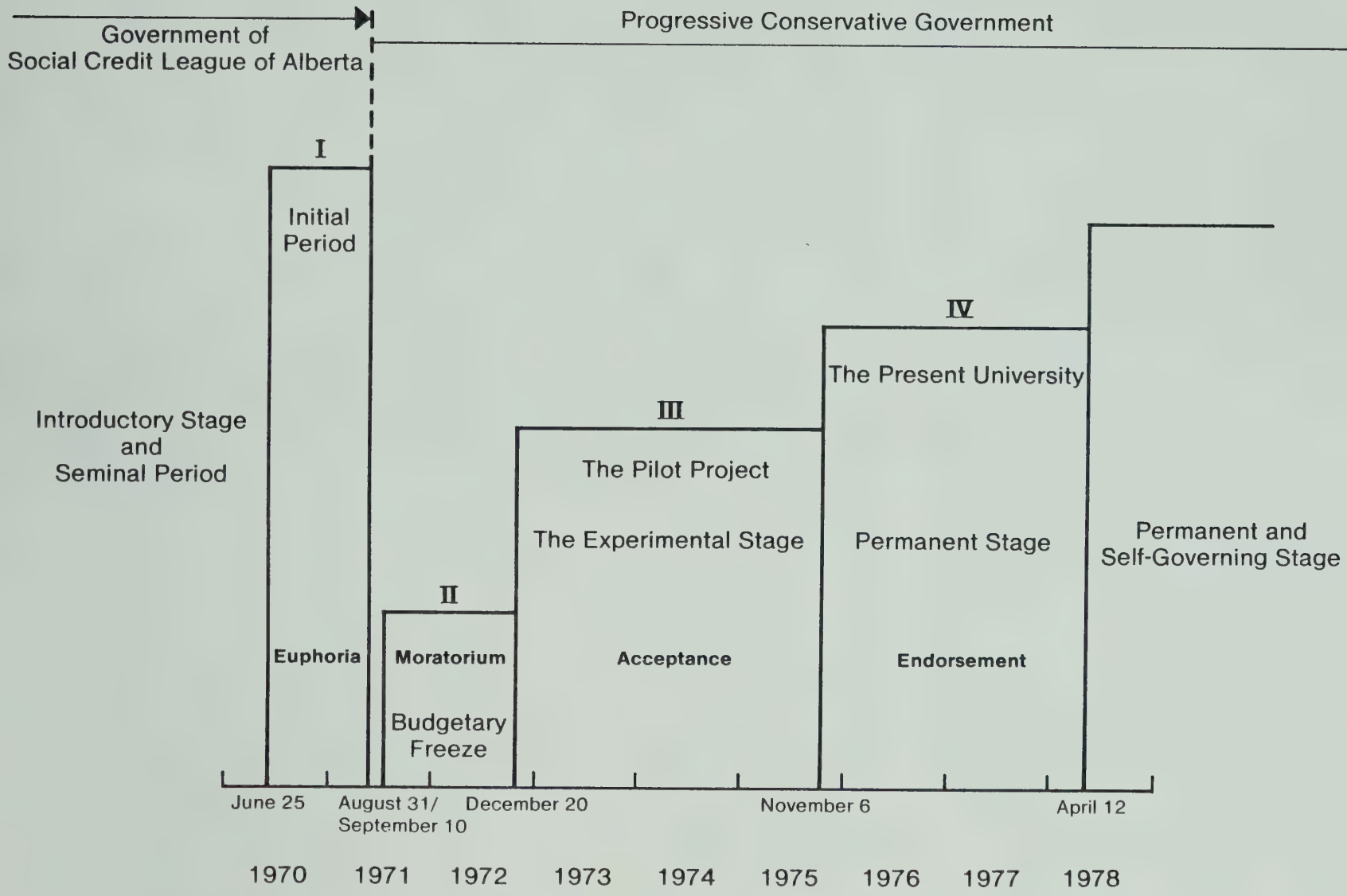

Figure 4. Four stages in the development of Athabasca University: euphoria, moratorium, acceptance, endorsement.

intense planning and activity (see Figure 4). It was the culmination of a great deal of interaction among a complex variety of interested groups and was carried out in an atmosphere of lively intellectual activity and excitement (see Figure 5). Social and economic conditions at this time were highly conducive to educational change and it had been perceived by many in the administration of higher education that with the huge anticipated increase in student enrolment many new places would be needed.

This period can be viewed as one key stage in a period of planned social change and development proposed by the Social Credit government. The situation changed dramatically when the Social Credit government was overwhelmingly defeated and replaced somewhat unexpectedly by the Progressive Conservatives.*

Stage II: September 10, 1971-December 20, 1972

The period from September 10, 1971 to December 20, 1972 was the direct antithesis to the one previously mentioned. The intellectual excitement and planning on the grand scale were noticeably absent. Instead the new PC government had consented, with some degree of hesitance, to allow the fledgling university to continue but on a much smaller and reduced scale. The university was permitted to function merely as an experimental or pilot project. This

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*Hereinafter abbreviated as PC.

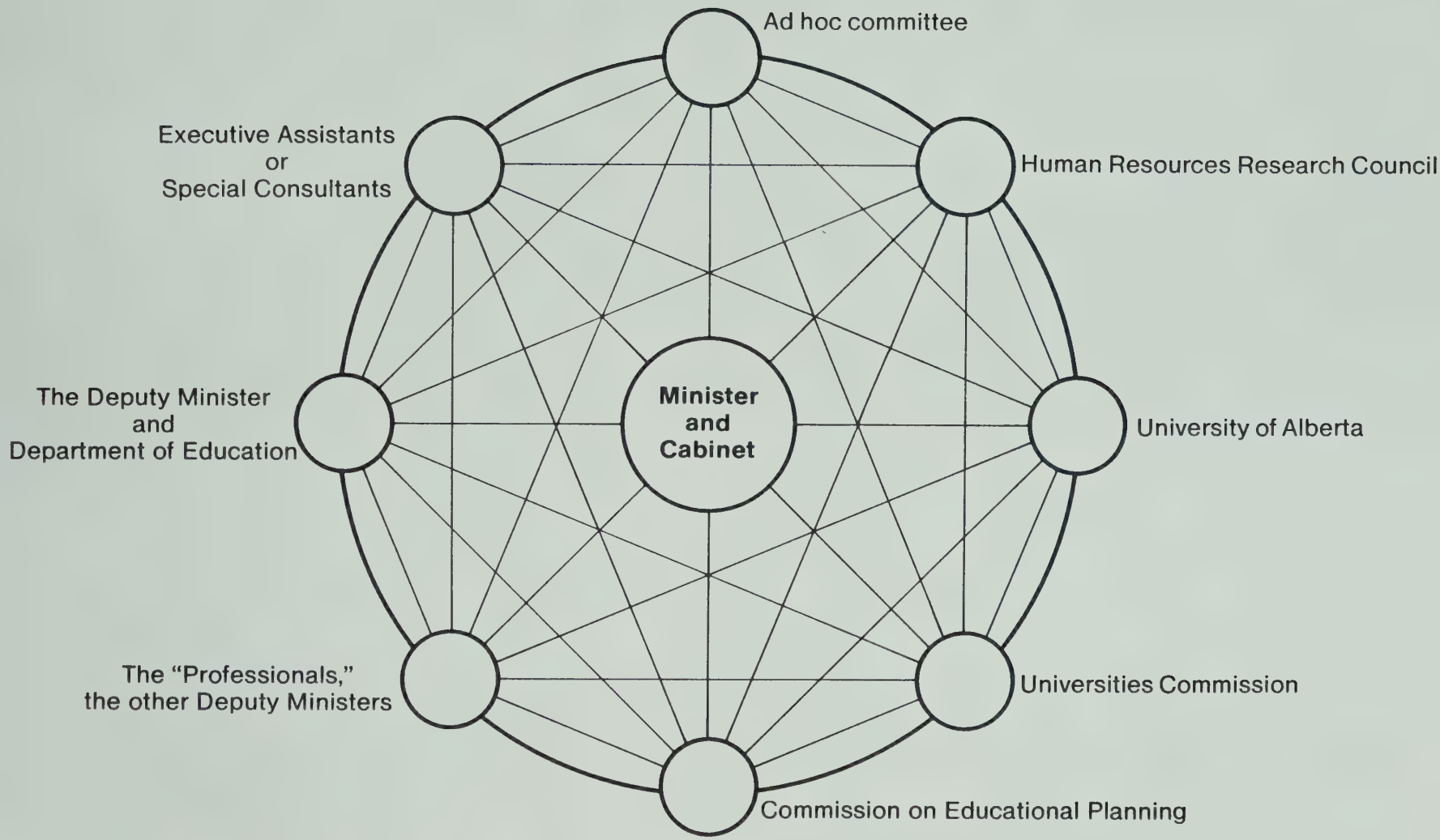

Figure 5. Policy making in the initial period: an informal network of elitist special interest groups. Conglomerates of power, persuasion and influence.

period of Athabasca University's development seemed therefore to be characterized by two dominant ideas: (1) a spirit of subdued acceptance by government; and (2) the realization that the Athabasca University authorities would have to demonstrate some tangible results if they were to survive in an increasingly hostile educational environment. This period was also notable for the fact that the government announced the appointment September 1, 1972 of a Deputy Minister, Dr. W. W. Worth, to the recently created Department of Advanced Education. Prior to taking up this appointment, he had produced A Choice of Futures, released on June 16, 1972, a document which could be said to be visionary and calling for dynamic events in education.

Stage III: December 20, 1972-November 6, 1975

The period from December 20, 1972 to November 6, 1975, almost three years, was one of consolidation. Athabasca University had been granted by government a three year term in which to prove itself. In this period, a few students were permitted to enroll and the first course on World Ecology was introduced in the summer of 1973. By 1974 three more courses had been introduced, but the overall position of Athabasca University was still very ambiguous.

It was in this period that the newly created

Department of Advanced Education, subsequently the Department of Advanced Education and Manpower was under the direction of a new Deputy Minister, Dr. W. H. Worth, whose appointment ran from September 1, 1972 to June 30, 1976. The eventual successful establishment of Athabasca University can be attributed in part to the close collaboration that existed in these early stages between Athabasca University's foundation president and the deputy minister.

Referring to The Alberta Gazette, March 15, 1972, it can be noted that although there had been three other appointees to the position of deputy minister, Dr. Worth, though the fourth person to hold this appointment, was in fact the first fully operational deputy minister.

Stage IV: November 6, 1974-April 12, 1978

The period between November 6, 1975 and April 12, 1978 was marked by new actors in the key roles: (1) a new Minister of Advanced Education and Manpower, The Honourable Dr. A. E. Hohol, had been announced on April 13, 1975; (2) a new deputy minister, Dr. H. Kolesar, had been appointed on October 1, 1976; and in addition, (3) Athabasca University's second president, Dr. W. A. S. Smith, was appointed in November 1976. This period seemed to indicate that the PC Government had finally accepted

the fact that Athabasca University was at last a viable institution, and could indeed make a significant contribution to the post-secondary educational requirements of Alberta's adult population who by choice or circumstances could not undertake degree level studies at other universities in Alberta.

This final approval by Executive Council on April 12, 1978 occurred twelve years after the initial decision on December 20, 1966 to establish a fourth provincial university. The four periods under review were thus marked by: (1) a significant change in government which came at a most crucial period in the university's development; (2) changes in the key personnel in the Universities Commission, the Department of Advanced Education and Manpower and Athabasca University; and (3) times when the university's future seemed doubtful.

A more detailed study of these four periods and the period immediately preceeding now follows.

Major Events Prior to Stage I

Policy analysts who have tried to analyze politico-educational scenarios agree that it is difficult to pinpoint precisely when and where an innovative idea originates. Nevertheless there were in this case certain key events which did occur, certain individuals who were

prominent, and it seemed as if social and economic conditions at that time were the most appropriate for the promoting of some new ideas or projects. It is indicated in the following review that ideas were generated and in a cumulative and developmental way this seemed to result in the promotion of other and more complex educational ideas. It seems appropriate and useful, therefore, to begin this investigation into the origins of Athabasca University with a chronological review of the following major events.

Event 1: The Minister of Education's Advisory Committee on Education, 1957

The Minister of Education's Advisory Committee on Education found that the educational problems which they were facing were so complex that an extensive and disciplined study was required. The kind of study the committee envisioned could only be undertaken by a Royal Commission.

Event 2: The Royal Commission on Education in Alberta

The Royal Commission on Education in Alberta was established by Order in Council 2009/57, December 31, 1957. The Chairman of the commission was The Honourable Senator Donald Cameron, and the Vice-Chairman was Dr. Gordon L. Mowat, until recently (1979), Professor Educational Administration, University of Alberta. The commission held sixty hearings during the following two

years. The subsequent report released in 1959 contained some significant recommendations and observations that were highly relevant to this study of the genesis and evolution of Athabasca University. For example, in the report reference was made (1959:245) to: (1) interest in adult or continuing education; and (2) a recommendation was made (1959:426) that a commission to be known as The Alberta Educational Planning Commission should be established. The Royal Commissioners (1959:426) exercising some poetic license here described education as "the magic key that could unlock the Pandora's box of universal plenty."

The Royal Commissioners (1959:428-431) recommended therefore that:

> (1) a new, overall planning and coordinating agency should be created . . . (2) the Chairman of this new body should be a man of outstanding qualities in the field of education, science or business, he should be independent of political considerations and possess an enquiring and judicious mind, the salary should be between . . . and (3) the Alberta Educational Planning Commission should be established by Act of the Legislature at the earliest opportunity.

Event 3: The Survey Committee on Higher Education in Alberta

The first meeting of the Survey Committee on Higher Education in Alberta was held June 28, 1961. It was an ad hoc group consisting of: (1) three cabinet ministers; (2) three senior university officials; and (3) an executive secretary.

The inaugural members of this committee were: (1) the Provincial Treasurer, the Honourable E. W. Hinman (Chairman); (2) the Minister of Education, The Honourable A. A. Aalborg; (3) the Minister of Public Works, The Honourable F. C. Colbourne; (4) the President of the University of Alberta, Dr. W. H. Johns; (5) the Chairman of the Board of Governors, University of Alberta, Dr. C. M. Macleod, Q.C.; and (6) the Principal, University of Alberta, Calgary, Dr. M. G. Taylor. The executive secretary was Mr. B. H. McDonald who is currently (1979) Associate Vice-President (Academic Administration), University of Alberta.

The Survey Committee was formed to enquire into and report on all those problems and possibilities which impinged on the future growth and development of the programs of higher education in Alberta with particular emphasis on the development of the best possible policies consistent with the greatest economy of operation.

Event 4: Increase in Provincial Aid to Education

In accordance with the developing Human Resources idea, provision was made in 1962 to increase provincial aid to education. According to Bettison et al. (1975:168) this took several forms: (1) the Northern Alberta Institute of Technology was established in 1961, SAIT had already been in operation since World War I; (2) community colleges were being extended across the

province; (3) $68.7 million was appropriated to the Department of Education which amounted to 27.9% of the total estimated expenditure of the government but by 1970 the figure was in excess of $405 million and amounted to 35% of the total budget.

Event 5: Special Study on Higher Education: Dr. Andrew Stewart

During 1965-66 Dr. Andrew Stewart, a former President of the University of Alberta, 1951-1958, undertook a special study under the auspices of the Alberta Survey Committee on Higher Education on junior colleges and higher education.

In a press release of the Third Interim Report of the Survey Committee on Higher Education, July 6, 1965, it was stated that a study should be made of the future expansion of junior colleges and other facilities for higher education. It was suggested in the report that satellite campuses might be necessary to accommodate additional undergraduate students. The report was evidence of a growing interest and concern in the problem of rapidly increasing student enrolments.

Event 6: The Alberta Universities Commission

Under the provisions of the Universities Act, 1966 the Universities Commission was created, effective as from

April 1, 1966. In this act provision was also made for the creation and establishment of further universities by the Lieutenant Governor in Council. The commission consisted of: (1) a full time chairman; (2) three full time professional staff; and (3) eight other persons

The inaugural members of this commission were: (1) Dr. W. H. Swift, Chairman; (2) the Deputy Minister of Education, Dr. T. C. Byrne; (3) the Deputy Provincial Treasurer, Mr F. G. Stewart; (4) Dr. Gordon L. Burton; (5) Dr. C. Malcolm Macleod; (6) Dr. Earle P. Scarlett; (7) Mr. Haughton G. Thomson; (8) Mr. LeRoy A. Thorssen; (9) Mr. Merrill E. Wolfe; (10) Dr. A. M. Kristjanson, Academic Planning Officer; (11) Mr. B. H. McDonald, Financial and Statistical Analyses Officer; and (12) Mr. J. R. B. Jones, Capital Development Officer.

Event 7: Premier Manning's Study

In 1962 the premier had initiated a series of new policies which were aimed at assisting the individual citizen of the province. The committee, which Manning had set up, articulated the notion of a minimum acceptable standard of living in the province. The reasons for this new emphasis or direction in Social Credit political philosophy are not the main concern of this study but the new approach was to take several forms in the 1960's. It can best be exemplified in the Human Rights legislation that was to follow in 1966.

Event 8: The New Social Credit Political Philosophy and the Development of the Human Resources Idea

In the Budget Speech (1966:3) Premier Manning had announced details of government proposals for a new program for a new generation of progressive people. To achieve this end the government proposed to adopt certain measures. The 1966 Budget was aimed principally at implementing the program in the following six areas: (1) expansion of educational facilities across the province, including the creation of a Department of Youth with Robert C. Clark being appointed the first and only Minister of this Department July 4, 1966; (2) an increase in subsidies under the Alberta Health Care Plan enabling all income groups to participate; (3) an increase in financial assistance to municipalities and the granting of tax discounts to reduce the burden of property tax; (4) a massive increase in highway, bridge and public buildings construction; (5) an increase in funding of cultural activities, parks and recreation, and the preservation of historical sites; and (6) an increase in the developmental program for Northern Alberta through the provision of more roads, airstrips and community service to people in the remote areas.

The more significant part of this mid-sixties program was: (1) the Human Rights legislation of 1966; (2) the establishment of the Human Resources Development

Authority (Statutes of Alberta, 1967:35); and (3) the establishment of the Human Resources Research Council* (Statutes of Alberta, 1967:36).

The Alberta Human Resources Research Council, assented to March 30, 1967 had been formed with the objectives of undertaking educational, social, economic and other research relating to and affecting the development and conservation of human resources in Alberta.

Most significant of all these related events, was the publication in March 1967 of A White Paper on Human Resource Development. This white paper was essentially the blueprint for all future Social Credit political and social planning. Although the document bore the Premier's name it was widely recognised that the real authors of this white paper were in fact Preston Manning and Dr. Erick Schmidt.

The White Paper (1967b:17) contained some radical and innovatory ideas and these had been developed in some detail: e.g., (1) human resources would be treated as being intrinsically more important than physical resources; (2) consideration would be given to human beings individually rather than to human beings collectively; and (3) a free enterprise economy in which all individuals had

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*Hereafter abbreviated as HRRC.

the maximum opportunity to participate would be regarded as more desirable than a state regimented economy.

The White Paper (1967b:25) also contained proposals that a comprehensive approach relative to resources development would be characterized by: (1) a new priority for human resources development; and (2) a new emphasis on the individual in human resource development.

One section dealing with the services for Human Resources Development (1967b:83) contained the following significant announcements: (1) the Alberta Human Resources Research Council was in the process of being established; (2) the fact that the Alberta Universities Commission had been already established on April 1, 1966; and (3) new junior colleges and universities had been approved.

This announcement was of some special significance for in the early 1966 meetings of the Universities Commission, it had been resolved that the matter of a fourth university should be held in abeyance and the University of Alberta should be permitted some further expansion.

Event 9: The Commission on Educational Planning: Dr. W. H. Worth, Commissioner

One of the major recommendations in the Report of the Royal Commission on Education in Alberta, 1959

(Recommendation 280) was that an Educational Planning Commission should be established at the earliest opportunity. Several factors now seemed to precipitate the establishment of the new commission: (1) June 1968, the Report of the Committee on Aims and Objectives of Education in the Schools of Ontario, the Hall-Dennis Report, had been released; (2) December 12, 1968 Premier Manning retired from the provincial political scene and was succeeded by Harry E. Strom; and (3) the former Minister of Youth, Robert C. Clark, was appointed Minister of Education December 12, 1968, the appointment coinciding with the new Premier Harry E. Strom taking up office.

The Hall-Dennis Report had been released in June 1968 and its appearance had a major impact throughout Canadian educational circles. Robert C. Clark, the Minister of Education, was at the same time Chairman of the Human Resources Research Council and partly through the close working relationship of (1) the Minister, (2) the Deputy Minister, Dr. T. C. Byrne, (3) the Vice-President, Planning and Development, University of Alberta, Dr. W. H. Worth, and (4) the Director of the HRRC, Dr. L. Downey, it was agreed that the best interests of the province would be served if an overall study of education in Alberta could be undertaken.

It was therefore resolved that an independent

commission on educational planning would be set up. Accordingly the Commission on Educational Planning was established by Order in Council 1126/69, June 24, 1969, and Dr. W. H. Worth was appointed Commissioner to head the enquiry.

Event 10: Post-Secondary Education Until 1972: An Alberta Policy Statement

In January 1970, the Minister Robert C. Clark released a policy statement on post-secondary education. In general terms, the Minister expressed the belief that all Albertans who were capable of benefitting from undergraduate education in one or other of Alberta's three universities should be provided with the opportunity of doing so. The Minister stated that: (1) the government had established through the Universities Act of 1966 a university system for the province; and (2) the government had established a Universities Commission to coordinate the efforts of this provincial university system.

The three existing universities, the University of Alberta, the University of Calgary, and the University of Lethbridge were coping with the demands of increasing enrolments. Nevertheless it was pointed out that by 1973 student enrolments at the University of Alberta would probably reach 25,000.

Therefore the Minister reaffirmed that the

construction of a fourth university would have to be commenced immediately and that the university would be completed within three years. The Minister also stated that: (1) the government would appoint a Board of Governors for this fourth university early in 1970; and (2) the government would make an immediate commitment to plan a campus for 5,000 students. It was also implicit that this White Paper on Post Secondary Education contained policies which the government would pursue until the Report of the Commission on Education Planning was received.

Event 11: The Ecumenical, Inter-Church or Christian Oriented University Movement

This ecumenical, inter-church or Christian oriented university movement was little known but one which was considered to be quite significant by several persons prominent in university administration of that time.

By November 1966, an inter-denominational group had been formed of persons who wished to promote the idea of a state supported university having a Christian orientation. The government had encouraged this group to some extent and the discussions about the optimum way of absorbing the extra students who needed university places now included reference to this proposed ecumenical college. By December 20, 1966 an Inter-Church Committee had been formed to examine this proposal. The committee consisted of the

following persons: Reverend T. L. Leadbeater (Anglican), Reverend Roy Bell (Baptist), Mr. T. Anderson (United), Mr. Sid Vincent (Alberta College), Reverend Father Kinderwater (R.C.) and the Reverend J. M. Zimmerman (Lutheran).

Although the government seemed to favour the idea of a Christian university, the counter argument was put forward that universities were expected to operate on the basis of intellectual freedom and not on a quasi-religious basis. The ecumenical college was not established.

Summary of Events

It is reiterated that the purpose of this dissertation was to examine the genesis and evolution of Athabasca University. The university was first formally established on June 25, 1970 but prior to this date there had been several significant commissions, studies and official statements which hinted at the establishment of another university. These events assisted in helping to provide the appropriate intellectual climate and receptive atmosphere necessary for the promotion of such a major project. The summary of events which now follows should be regarded as a chronological framework within which the key decisions were made. The period could also be viewed as a time of intense educational activity when the origins of many other educational ideas may have been generated.

(1) The establishment of the Advisory Committee on Education in 1957 by the Minister The Honourable A. O. Aalborg; (2) the Report of the Royal Commission on Education in Alberta, 1959; (3) the establishment of the Survey Committee on Higher Education in Alberta, 1961; (4) the increase in provincial aid to education during the years 1961-1970; (5) the special studies on higher education in Alberta undertaken by Dr. Andrew Stewart, 1965-66; (6) the establishment of the Alberta Universities Commission, April 1, 1966; (7) the impact of Premier Manning's study committee, 1962; (8) the active promotion of the new Social Credit political philosophy and the human resources idea in 1967; (9) the establishment of the Commission on Educational Planning, June 1969; (10) the release of the report Post Secondary Education until 1972, An Alberta Policy Statement by the Minister The Honourable R. C. Clark; and (11) the Ecumenical or Inter-denominational College movement.

All of these activities were closely interrelated in some way and helped to provide the environment necessary for the decision making activities that were to follow.

Difficulties in Establishing When the Decision was Made to Establish Athabasca University

It has been proposed that policy analysts would agree it is difficult and sometimes impossible to specify when, where and how a particular policy decision is made. In the process of identifying the major events, reference was made to information obtained from the forty-five interviews and the official correspondence and memoranda of the Minister, the Universities Commission, and the University of Alberta, which related directly to the establishment of Alberta's fourth university. This correspondence included related topics such as: (1) the rapid growth of student enrolment; (2) financial allocations; and (3) the eventual siting of the new university.

It is well understood that many factors must have come into consideration in the making of these decisions, e.g., some of the underlying factors, due to their informal nature did not lend themselves to empirical research. Consequently factors such as the numerous, informal social contacts of the key figures have been excluded from the study. Nevertheless the information obtained from an examination of correspondence and memoranda does provide a reasonably reliable guide (see Table 2, Appendix C) as to the sequence of major

events which resulted in the university's establishment on June 25, 1970.

Appraisal of the Situation Immediately Prior to Stage I

Athabasca University was thus formally established on June 25, 1970 but it is with the months immediately prior to this time that most interest lies at this point in the study. The general feeling was that student enrolments which had been increasing at the rate of approximately 12% per annum were going to increase still further. The Chairman of the Universities Commission, Dr. Andrew Stewart, had conveyed the information to Minister Robert Clark, on April 27, 1970 that by 1979 a fourth provincial university could be expected to cater for 10,000 students with a possibility of even reaching a 20,000 student enrolment.

Exchanges Between Universities Commission and the University of Alberta

The official correspondence between the University of Alberta and the Universities Commission is most revealing at this stage. It now seemed as if the University and the Commission were negotiating with each other quite independently of other interested bodies. Naturally the Commission was still subject to ministerial control and

direction, but the exchanges between the University of Alberta and the Universities Commission would seem to indicate a high degree of independence or autonomy in both quarters.

On July 21, 1966, three and a half months after the Commission came into operation on April 1, 1966, the Commission Chairman Dr. W. H. Swift wrote to Dr. W. H. Johns, President, University of Alberta, on the subject of the expansion of higher education facilities in the Edmonton area. Dr. Swift had requested in this exchange that Dr. Johns and his colleagues in the University of Alberta should give some thought to possible solutions that may have occurred to them. Among the possibilities that Dr. Swift mentioned for consideration were: the establishment of satellite campuses, junior colleges, liberal arts colleges and the like.

By September 14, 1966 Dr. Swift had decided that the Commission "must very shortly get into a serious study of the problem." He proposed also that the University of Alberta should be prepared to make a presentation on this issue and be prepared to offer some solutions.

The effect of ministerial control or influence on the work of the Commission was made clear by the advice that the Minister, The Honourable Raymond Reierson gave to the Commission. The Minister had stated on September 18,

1967, that due to a shortage of funds the building of a fourth provincial university would have to be postponed for two or three years. The Minister had referred to this decision as part of a series of new or modified decisions made by the government. The government, so it seemed, had decided that the University of Alberta should therefore commence planning for 21,000 students and not 18,000 as originally had been intended.

Differences of opinion seemed to have emerged by November 14, 1968 among those conducting the business of catering for the anticipated increase in student enrolments. Dr. M. Wyman, Acting President, University of Alberta argued that a fourth university should not now be established in Edmonton and that the University of Alberta should be allowed to expand its facilities. On December 30, 1968 Dr. Wyman had expressed the view that 30,000 students could be expected in 1973-74, or even perhaps 40,000. By March 24, 1969 the situation appeared to have become quite tense. Dr. Andrew Stewart had informed the university that the issues were too serious to be playing games of "upmanship." Dr. D. G. Tyndall, Vice-President, Finance, University of Alberta had written to the Commission on March 26, 1969 denying the allegation that professors at the University of Alberta were turning into amateur cost accountants.

These brisk exchanges between the central figures are included to show that there was not always the unanimity on important issues that one would have assumed to be the case. When the decision was finally made to establish a fourth university such exchanges did not seem to occur to the same extent. The wording of the appropriate act seemed to preclude any additional argument or discussion, viz.

> The Lieutenant Governor in Council may from time to time, establish such additional Provincial Universities as he thinks necessary or desirable in the public interest, with such names as he considers fitting. (Revised Statutes of Alberta, 1970, c. 378, S. 4(2) and (4)(5)(6)(7))

The argument was further resolved in 1970, when the government agreed to provide the Universities Commission with a grant of $89.5 million for the operating support of the four provincial universities and the Banff School of Fine Arts for the year 1971-72.

About the same time, i.e., May 1970, Premier Harry E. Strom, together with the Minister, decided that studies into current educational issues and problems should be carried out with the appropriate provincial department or agency. There were by this time five such bodies: (1) the Department of Education; (2) the Universities Commission; (3) the Colleges Commission; (4) the Commission on Educational Planning and (5) the Human Resources Research Council (see Figure 5, p. 94).

This proliferation of crown agencies or commissions was intensely disliked by the succeeding PC government, who felt that such agencies were undemocratic in that they tended to remove responsibility from the appropriate minister. As soon as the PC government came to power it was decided that all the commissions mentioned would be closed down in one way or another.

Notwithstanding the above, the Premier and the Minister decided that these investigations into current educational issues and problems would be undertaken. It now becomes increasingly more difficult and complicated to trace this sequence of events accurately partly due to the fact that: (1) the same people involved in these negotiations tended to appear again but in different organizations undertaking a somewhat different role; and (2) the various interest groups and networks which had been formed were now beginning to take on a more definite form and structure.

In addition, there was also the complicating factor that while there were obvious and overt groups and organizations, there were now identifiable groups and networks who could best be described as covert.

The Formal Roles and Groups

Some of the key actors were involved in several ways: (1) Dr. T. C. Byrne was (a) Deputy Minister of Education, (b) a member of the Universities Commission, (c) Chairman of the Policy Committee HRRC and (d) soon to become the foundation President of Athabasca University; (2) Dr. W. H. Worth was (a) Commissioner, Commission on Educational Planning, (b) the former Vice-President, Planning and Development, University of Alberta, (c) soon to become Deputy Minister of Advanced Education, and then (d) Deputy Minister of Advanced Education and Manpower; and (3) Dr. L. Downey was (a) Director of the HRRC and (b) Coordinator of Research for the Commission on Educational Planning.

The HRRC is worthy of a separate study in itself for the remarkable contribution which it made to educational progress and innovation in Alberta in its five years of existence. Several former members of the organization are currently (1979) professors of educational administration, University of Alberta. These include: (1) Dr. E. J. Ingram, the former Associate Director and Coordinator of Educational Studies; (2) Dr. E. Miklos, the former Executive Secretary, Policy Committee and Head of the Education Planning Mission; (3) Dr. R. G. McIntosh, the former associate to the Director; and (4) Dr. T. C. Byrne, the former

chairman of the Policy Committee who is a visiting professor (1979) at the University of Alberta.

The HRRC was regarded by some people as a "closed club," the expression being used here in the non-pejorative sense. Nevertheless the publications of the HRRC did command respect and interest from many quarters. These include one by Riffel, Ingram and Dyck (1970), The Challenge of the Seventies, Planning Education for the Decades Ahead: A Mission Proposal, and one by Miklos, Bourgette and Cowley (1972), Perspectives on Educational Planning.

The Informal and Ad Hoc Groups

The sections which now follow are possibly the most crucial, meaningful and important in this study. They are also the most difficult to describe accurately. For in describing informal and elite networks of key influentials, the information utilized is based on impressions gathered from external observations.

Therefore, it is stressed again that in these sections the analysis produced for this part of the study is based on data gathering and analysis which was: (1) in part confidential; (2) largely impressionistic; and (3) to a great extent based purely on the judgement and discretion of this writer.

However in naturalistic observational studies the approach of the investigative journalist can be justified provided the comments are fair and reasonable. Guba (1978: 61) has stated recently that the notions of adequacy, replicability, impartiality and fairness are far more appropriate in a qualitative study, than criteria such as authenticity, validity, reliability and objectivity which are normally utilized in a quantitative study.

There now follows a description of three discrete groupings which may be classified as informal or ad hoc groups and which made a most significant contribution to the eventual establishment of Athabasca University.

Group 1: The Ad Hoc Group, Referred to Also in a Non-Pejorative Sense as the Back Room Boys

Most informed observers agree that this ad hoc group (see Figure 6) was, without doubt, most influential in the decision-making processes which resulted in the establishment of Athabasca University. The group consisted of the following persons:

(1) Dr. T. C. Byrne, Deputy Minister of Education; (2) Dr. W. H. Worth, Commissioner, Commission on Educational Planning; (3) Dr. W. A. S. Smith, President, University of Lethbridge; (4) Dr. L. W. Downey, Director, HRRC; and (5) Dr. A. M. Kristjanson, Academic Planning Officer, Universities Commission.

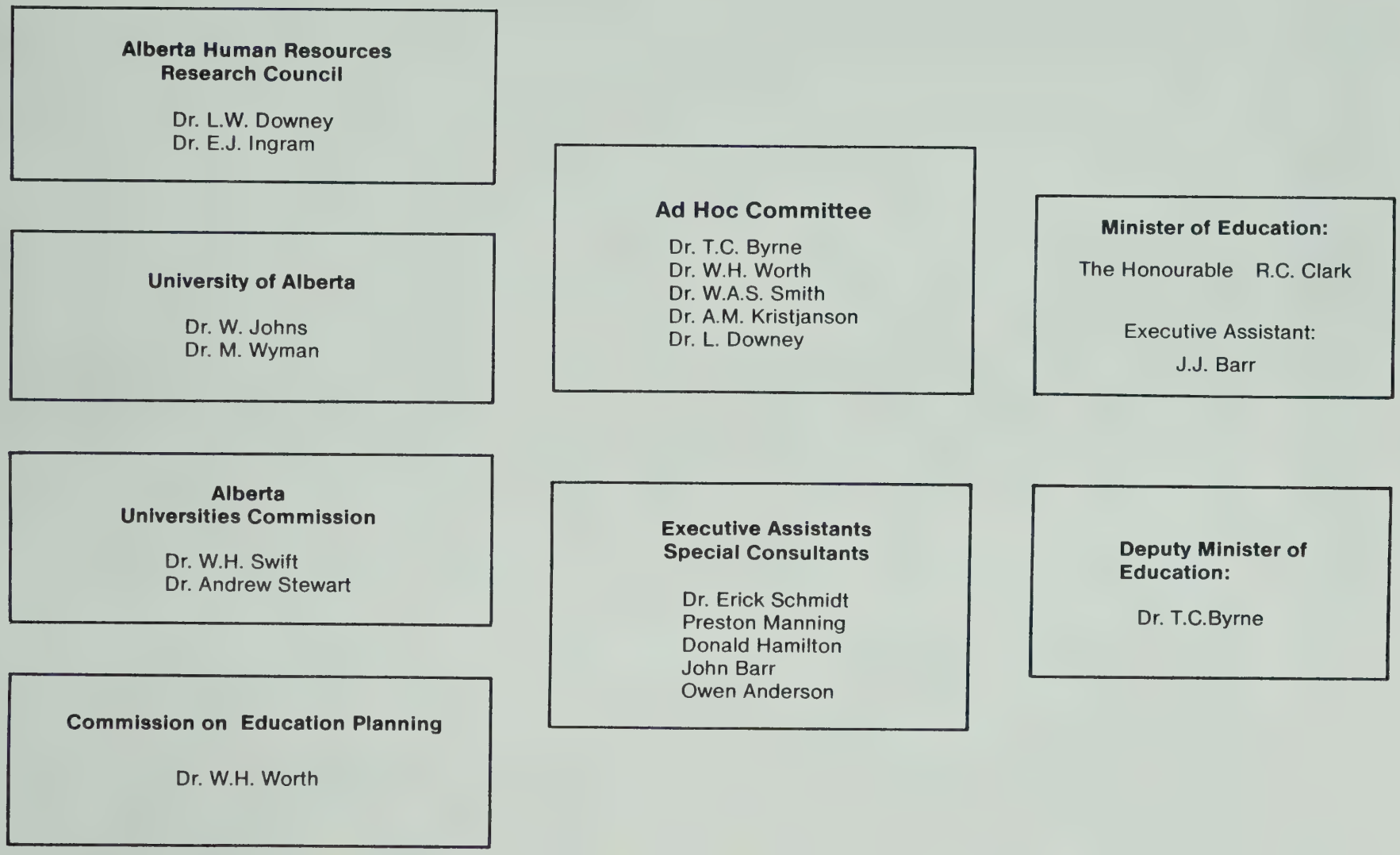

Figure 6. Elite groups, influential persons, informal networks associated with the decisions resulting in Order in Council 1206, June 25, 1970

Group 2: The Executive Assistants or Special Consultants Referred to Also in a Non-Pejorative Sense as the Whizz Kids

This was another distinct, informal grouping of younger men who were described as being "hell bent on doing a lot of things" (see Figure 6). To describe these executive assistants as a group may be doing them an injustice, because they certainly did not perceive themselves as an identifiable group. Nor did they attribute to themselves the same power and influence as did so many other people looking on from the outside at the activities of the provincial Social Credit government. They were assumed to exert a lot of power and influence in the provincial government, and they probably did. The circle consisted of the following persons:

> (1) Dr. Erick Schmidt, Special Consultant to the President of the Executive Council, perhaps the key figure in this group; (2) John J. Barr, executive assistant to the Minister of Education; (3) Owen Anderson, economic/political adviser to the Executive Council; (4) Donald Hamilton, executive assistant to the Premier; and (5) Preston Manning who held no official government appointment, but was very active as a party functionary. He was also Premier Manning's son.

Group 3: A Network or Collectivity of Three Discernible Groups with Premier H. E. Strom as the Epicentre of this Group

This grouping is somewhat more difficult to describe accurately, but it did seem at this stage as if Premier Strom was caught up by the pressures of three competing groups. (1) The deputy ministers, i.e., the professional civil servants; (2) members of his own cabinet; and (3) the group of special consultants and executive assistants described in group 2, who it seemed shared a close relationship with some of the cabinet and had complete access to all cabinet business and the premier.

The Government Decides to Establish a Fourth Provincial University

From an examination of the documentation it would seem that the decision to establish a fourth university was made on two separate occasions.

(1) December 20, 1966 when the government decided that another university was needed in the Edmonton area. The arguments for the establishment of another university at this time centred around the options of: (1) a proximate campus; (b) a satellite campus; (c) an independent university; and (d) an interdenominational university. The political activity at this time was mainly in response to a pressing demand for more university places. This

decision was shelved September 19, 1967 due to a shortage of funds.

(2) December 16, 1969 when the government made a firm commitment to proceed with the fourth university. The circumstances surrounding this decision were more complicated, due to the combination of groups and factors which have been described in the previous sections.

However it would seem appropriate to draw attention again to the main concerns at this time. It is reiterated that this was not a simple issue to pinpoint. Therefore the main factors are resummarized as follows.

Summary of the Main Features
Prior to Stage One

(1) A pressing demand for more university places still existed. (2) The emergence of the Universities Commission, the HRRC, the Commission on Educational Planning, the increased interest of the Department of Education and the University of Alberta, seemed to promote the appropriate type of educational environment necessary for the successful establishment of a new university. (3) The activities of identified informal and ad hoc groups which were pressurizing the premier and cabinet for a more rigorous program of social reform. These included the group of five, i.e., the ad hoc group or "backroom boys" who had now emerged as a most

influential and powerful group. It also included, to some extent, the group of special consultants and executive assistants to the cabinet.

The ad hoc group consisting of Dr. T. C. Byrne, Dr. W. H. Worth, Dr. W. A. S. Smith, Dr. L. W. Downey and Dr. A. M. Kristjanson was said to be the group who was most intimately connected and responsible for the ultimate establishment of Athabasca University.

This was the key period, i.e., the period immediately prior to stage one, when the political tradeoffs were taking place. It is impossible to transcribe all the unrecorded and informal negotiations and details relating to the political tradeoffs that did take place in regard to proposals for an ecumenical university and an Alberta Academy. These observations are based on information which was given to this researcher from a number of reliable and confidential sources who prefer to remain anonymous.

The acumen or political nous of this ad hoc group was demonstrated clearly by the way in which the group responded to the need to provide alternatives for the increasing numbers of students. It is usually considered politically advantageous to respond to a perceived need, and this is precisely what that ad hoc group did.

The main features of the period immediately prior to stage one were the close and harmonious working relationships believed to exist between the Minister, Robert C. Clark, and the Deputy Minister, Dr. T. C. Byrne, and between the Deputy Minister and the Commissioner for Educational Planning, Dr. W. H. Worth.

According to unanimous agreement in the comment of some former and current cabinet ministers, members of the opposition, former executive assistants, deputy ministers and former members of the Universities Commission, one person in particular, the Deputy Minister of Education, Dr. T. C. Byrne, had by now emerged as the main driving force in this move to establish a fourth provincial university.

Stage I in the Development of Athabasca University: June 25, 1970-August 31, 1971

This period from June 25, 1970 to August 31, 1971 was the vital period of fourteen months which followed the establishment of Alberta's fourth university by Order in Council 1206/70, June 25, 1970 (see Figure 7). This was the period when the Minister of Education, The Honourable Robert C. Clark, put into effect the new social development programs of the Social Credit government. The Deputy Minister of Education during the first ten months of this period was Dr. T. C. Byrne who remained Deputy Minister

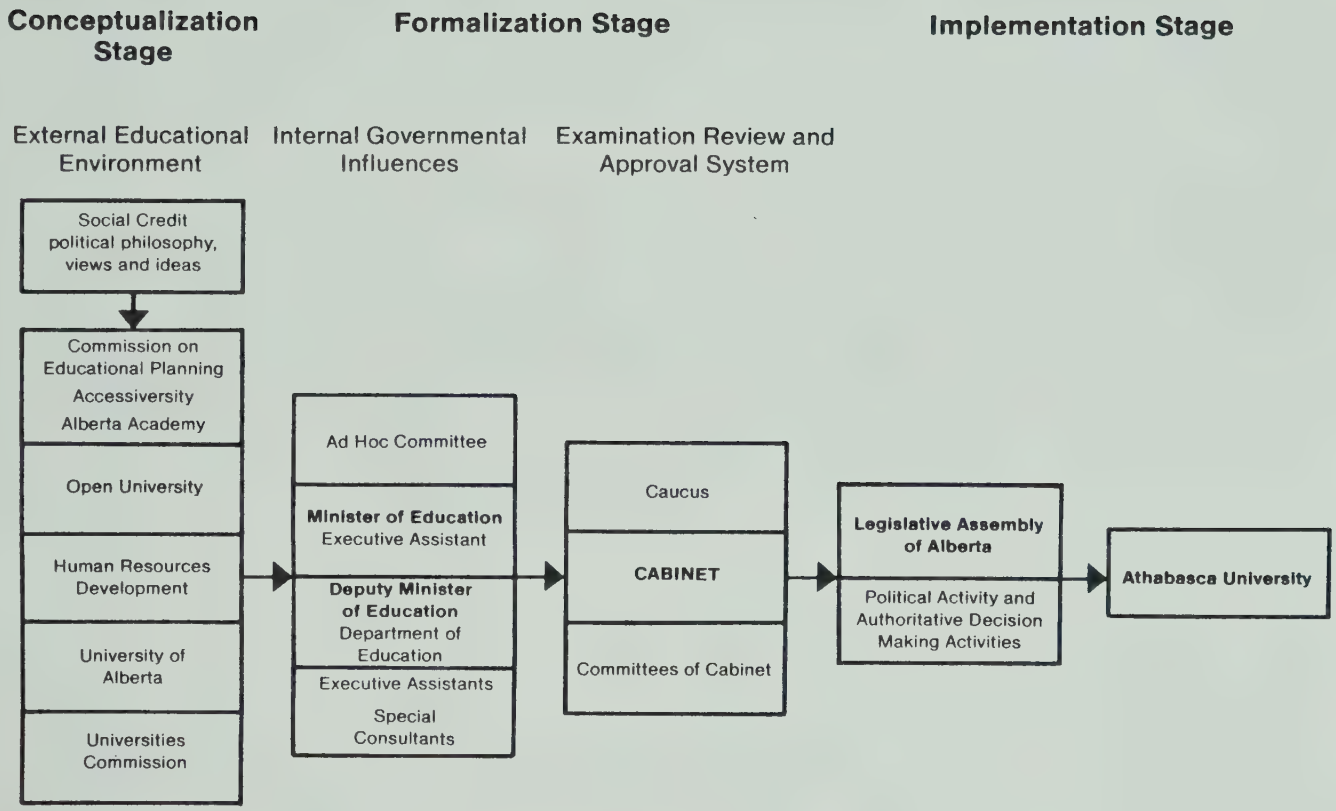

Figure 7. Policy making within an education context under the Social Credit Government until August 31, 1971

until May 1971 when he resigned from that position to become the foundation president of Athabasca University.

This was a most exciting period in social planning development in Alberta. According to informed observers, this first period of Athabasca University's development was characterized by a sense of euphoria and an intense intellectual excitement. This feeling had originated even before the university was formally established, but now this same sense of urgency and excitement had been transferred to the period commencing June 25, 1970. It was a period of ideas and planning, of a thoughtful and humane government responding to a need in a sensitive way. It was a period characterized by a social climate that was favourable to post-secondary educational expansion and development. It was a period, to use a Social Credit term, of hard heads and soft hearts, when the Social Credit government of the day was demonstrating tremendous enthusiasm for rectifying all the major social problems from education to health and crime prevention.

The Minister of Education during this period was described as youthful, able, conscientious, dedicated and, perhaps most revealing, as being always accessible and approachable. Even the Premier, The Honourable Harry E. Strom, was so accessible to the public that he would often return telephone calls personally, much to the surprise of the persons called.

This 1971 Cabinet of the Social Credit Government was described by informed observers as being perhaps overly idealistic, but nevertheless favourably inclined towards promoting education in the province. To illustrate this point, in addition to promoting the establishment of Alberta's fourth university, the government also approved the appointment of three hundred new staff members to the University of Alberta in one year.

While the Minister was described in terms of youth and idealism, the Deputy Minister of the time was described in the following terms: a highly respected and trusted senior public servant. These terms were used by cabinet ministers of both the major parties. The Deputy Minister was perceived to be a person whose advice and experience were utilized by the Minister. Some observers have described this period as ideal from a political/administrative point of view. At the political level the Minister was perhaps somewhat youthful and idealistic, and the Deputy Minister, at the administrative level, was regarded as a person of considerable experience. This combination was regarded by numerous observers as highly satisfactory as the views of the political master could be tempered when necessary by the experience of an able, respected and above all, trusted public servant.

A further example is given to illustrate the drama, the excitement and the high hopes that were held for this

new and entirely different concept of a university. In an attempt to capture the prevailing spirit of contemporary university development seven members of the interim governing council, despite some public outcry at the expenditure of taxpayer's money, visited: (1) University of Wisconsin at Green Bay; (2) Trent University; (3) the University of California at Santa Cruz; (4) Simon Fraser University; (5) University of Sussex; (6) the Open University; (7) the University of Kent; (8) the University of Essex; and (9) the University of East Anglia.

All the high hopes and grand schemes were suddenly dashed when the election results of August 31, 1971 became known.

Stage II in the Development of Athabasca University: Moratorium, September 10, 1971-December 20, 1972

This period from September 10, 1971-December 20, 1972, if not the most crucial period, was certainly the time when Athabasca University's affairs reached their lowest ebb. In brief, the expected huge increase in Alberta student enrolments did not materialize and projections in student numbers were found to be quite inaccurate.

The new PC government wisely declared a moratorium until such time as the situation would become clearer. The spirit of the times can best be summarized by two

quotes. (1) The new minister of the newly created Department of Advanced Education (see Figure 8), The Honourable J. L. Foster was quoted as saying: "This is not quite a budget freeze, but you might call it a very heavy chill," and (2) Dr. T. C. Byrne, by then Athabasca University's first president of four months, stated more recently that: "Although there was a budgetary freeze in the fall, the frost did not appear on the window pane until the spring."

The following scenario describes this period: (1) a new PC government which by all accounts was swept into office unexpectedly; (2) a new government which kept to itself in the early months of office while policy was rapidly being formulated; (3) a Minister of Advanced Education, the Honourable J. L. Foster, who did not seem to be offering any positive guidance to the fledgling university; (4) a government which finally decided that there would be no plans for educational expansion; and (5) a government which instead had decided that there would be strict budgetary controls, cutbacks in the post-secondary educational system and a freeze on all educational construction.

During this early period of stage two it was becoming clearer to all concerned that the PC government was going to be faced with some decisions regarding

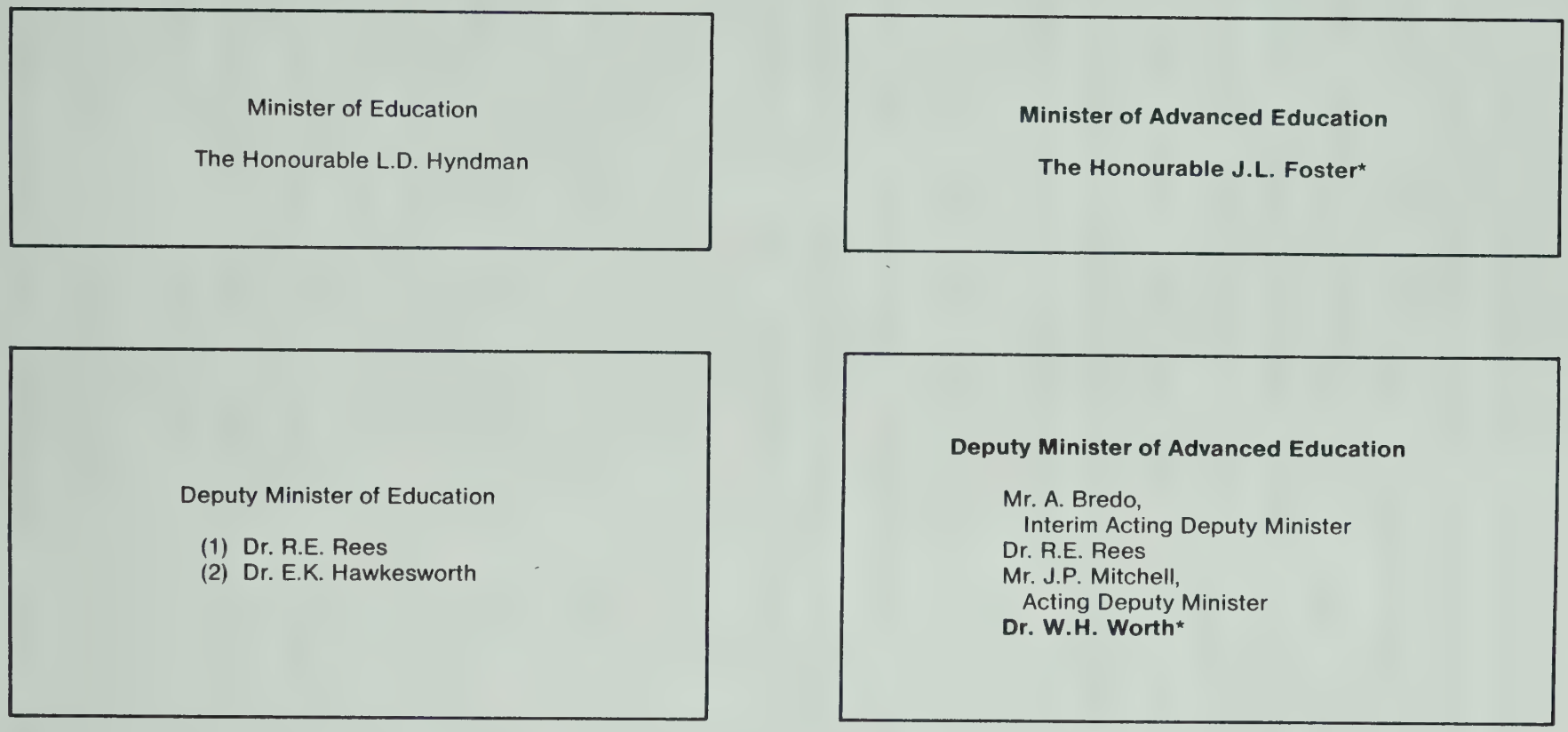

Figure 8. Re-structured departments of education after Progressive Conservatives assumed office, September 10, 1971

(Key personnel involved with decisions resulting in Order in Council 1986, December 20, 1972 shown thus *)

the fate of the fourth provincial university. The following questions arose: (1) Should the government terminate the whole project immediately on the grounds that a fourth university was no longer needed? (2) Should the government establish it completely following the original plans and concept? (3) Should the government find some other scheme which would amount to a compromise between complete rejection and complete acceptance of the original plan?

The HRRC was still a very active organization at this time. Plans were being discussed to assist Athabasca University in the setting up of a regional laboratory by December 30, 1971. The HRRC was also to undertake a project in social accounting to assess the quality of life in Alberta. The term "social audit" was developed at this time to describe this attempt to take stock of the health and robustness of a society by describing social conditions, identifying discrepancies between social conditions and goals and taking account of the delivery of social services. This project was in the process of being discussed by February 9, 1972 and it seemed as if the HRRC was to be permitted to carry on under its new political masters.

However, by early January 1972, the new Premier The Honourable Peter Lougheed had decided that the

commissions established by the Social Credit government would be closed down. On January 6, 1972 Miss W. Helen Hunley, Chairman of the HRRC and Minister without Portfolio, formally stated that cabinet had decided to phase out the HRRC. However this information had been conveyed personally by the Premier himself in a telephone call to the members of the governing body a short time previously. The Premier had made it clear that the HRRC was not going to continue and it ceased operations officially August 31, 1972.

In the meantime it seemed highly likely that Athabasca University, another Social Credit venture, would suffer the same fate.

By January 18, 1972 a brief resume of the collective activity of the ten members of the interim governing authority had been forwarded to the Minister of Advanced Education, Jim Foster. By March 31, 1972 the imminent dissolution of the HRRC was being discussed, although the HRRC did linger on until August 31, 1972.

Athabasca University's fate seemed extremely bleak during this period. Persons, who can remember this time well, have said that morale was at an all time low and only the optimism, leadership and tour de force of the President, Dr. T. C. Byrne, held the university together.

However, according to all informed sources, just when Athabasca seemed to be destined for the same fate as the HRRC, a combination of circumstances dramatically changed the whole situation.

Whereas Dr. Byrne as the former deputy minister enjoyed the complete trust of his Minister Robert C. Clark, the present situation, i.e., early 1972, was quite different. The new Minister of Advanced Education had no such deputy minister to whom he could turn—the reasons to be explained shortly (see Figure 8, p. 131).

As luck or fate would have it, a most unfortunate crisis situation had occurred at the Red Deer College which was to have repercussions that would influence Athabasca University's future. The Red Deer College affair was doubly significant for the new and youthful Minister of Advanced Education. It was his first major crisis in the area of advanced education and Red Deer was in the Minister's own electoral jurisdiction. Thus he was required to respond promptly on both accounts.

The Minister therefore chose Dr. T. C. Byrne, the former deputy minister and new president of the near foundering university to head an enquiry for the Alberta Executive Council into the state of affairs at the Red Deer College. Dr. Byrne was duly appointed by Orders in Council

427/72, 428/72, March 21, 1979 pursuant to Section 2 of the Public Enquiries Act as the Commissioner for the purpose of enquiring into and concerning the Red Deer College at Red Deer.

Suffice to say at this stage, the matter was resolved by the Commissioner to the entire satisfaction of the Minister. One result of this successfully completed Commission of Enquiry was that the Minister was now more inclined to respond to the advice of the university president/commissioner/and former deputy minister. Accordingly on May 30, 1972 the Minister made two announcements: (1) that all physical planning for Athabasca University would be suspended indefinitely—this announcement was expected; and (2) more important to Athabasca's future, the government had approved, in general terms, the proposal of the interim governing authority to continue academic planning by undertaking a pilot project which would test in a practical setting various dimensions of the Athabasca University model. By December 1972 the proposal had been resolved still further, and it was announced that the Department of Advanced Education and the governing authority had agreed on a course of action whereby academic planning would be directed towards the design and delivery of multimedia university level courses to off-campus students.

Athabasca University was no longer foundering, but was now a viable institution. It had a full time staff of

ten, six of whom were academic employees.

The relationship between the Minister and the Deputy Minister was much more complex at this time than in the previous stage. In the first phase during the difficult times of the Red Deer College enquiry, there had not been one deputy minister but three.

Dr. R. E. Rees, the former Deputy Minister of Education, was appointed to the post of Deputy Minister of Advanced Education. He held this position until June 9, 1972, but due to Dr. Rees taking retirement leave it was necessary to appoint acting deputy ministers in the interim period. According to the Alberta Gazette, March 15, 1972, Mr. A. Bredo assumed the duties of an interim acting deputy minister and was followed shortly by Mr. J. P. Mitchell who was also appointed as an acting deputy minister (see Figure 8, p. 131).

This state of flux was resolved quickly when on June 16, 1972 the report A Choice of Futures (the Worth Report) was finally completed, thereby releasing Dr. W. H. Worth who became Deputy Minister of Advanced Education September 1, 1972.

The period from September 1972 to December 20, 1972 was a particularly productive and important one for Athabasca University. A significant publication, Athabasca

University: An Experiment in Practical Planning, had been released in October 1972 and on October 15, 1972 it was agreed that Athabasca University would experiment with the Alberta Academy model. This concept had been given considerable coverage in the Worth Report. It can be assumed therefore that the political trade-offs had in fact taken place, and that Cabinet reached its decision about the future role of Athabasca University after the appropriate advice had been received from the Deputy Minister of the Department of Advanced Education. In brief, Cabinet had decided to grant Athabasca University a new lease of life by Order in Council 1986/72, December 20, 1972.

Stage III in the Development of Athabasca University: Acceptance, December 20, 1972-November 6, 1975

This period from December 20, 1972 to November 6, 1975 was a more lengthy one of thirty-five months during which time the pilot scheme was thoroughly tested and then accepted. The minister for the first twenty-seven months of this period was still Jim Foster, and he was succeeded on April 13, 1975 by The Honourable Dr. A. E. Hohol. The Deputy Minister of Advanced Education for the complete period was Dr. W. H. Worth, although during this time a major cabinet re-shuffle produced a newly styled Department of Advanced Education and Manpower (see Figure 9) with corresponding changes in the designations of the key personnel.

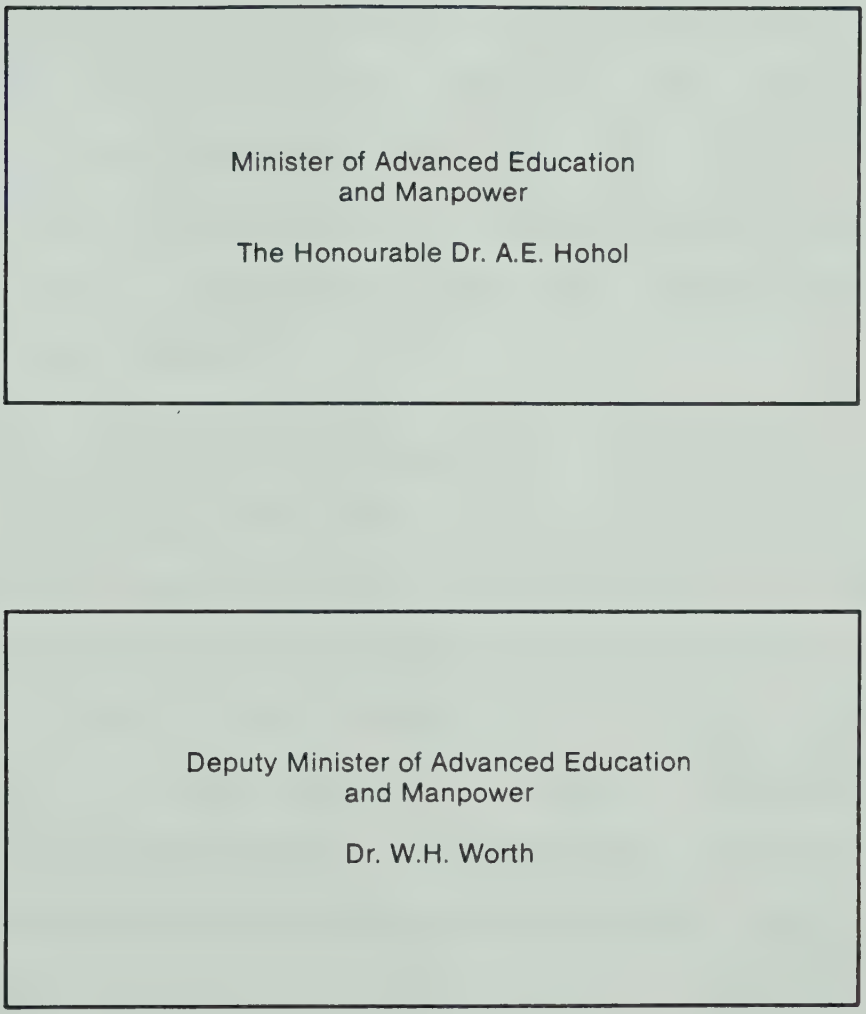

Figure 9. Key personnel involved with the decisions, November 6, 1975

The reasons for the success of this stage of Athabasca University's development follow.

Most observers of this period attribute much of the successful implementation of the pilot project scheme to the astuteness and dedication of the university president, Dr. T. C. Byrne. Most observers were quick to remind this researcher that Dr. Byrne had been a highly successful deputy minister who understood government strategy and, in particular, the way in which Cabinet made its decisions.

In short, the President was quick to perceive which way the political winds were blowing. Without his skilful leadership these same commentators agreed that Athabasca would have suffered the same fate as the HRRC, which it was alleged, had not built up the same type or degree of political support necessary for survival in a more hostile environment. The HRRC made some serious miscalculations from which it never recovered.

The concept of distance learning was becoming more acceptable in academic circles, and was no longer regarded merely as a fad. The Minister, Jim Foster, approved of what he saw particularly as he had no sensitive or difficult political decisions to make. The pilot scheme had virtually let him off a potentially dangerous political

hook. The pilot scheme could be justified on educational grounds alone, for it was in fact research and development in higher education within the province of Alberta. Many of the ideas now published in the Worth Report, released June 16, 1972 and which the PC government had accepted were being implemented in the pilot scheme. This period was most satisfactory from Athabasca University's point of view and from the government's position as well.

The latent demand for higher education was becoming more apparent and this was reflected in March 1974 by nineteen persons being appointed to the full time staff. In September 1974 the first three courses were offered: (1) Ancient Roots of the Modern World; (2) Introduction to the Study of Human Communities; and (3) World Ecology: The Scientific Context. The total number of course registrations was 534.

By March 31, 1975 the number of full time staff had reached thirty-six, and the pilot study undertaken in 1973 was concluded in early 1975. It remained for the provincial government to decide whether or not Athabasca University would move from the status of a pilot project to that of an emerging but permanent university. There now followed an interregnum or a pause in the university's expansion to await this crucial government decision.

The discussion paper, Athabasca University: An Experiment in Practical Planning, produced in June 1975 by the Department of Advanced Education and Manpower seemed to preempt the position that would be taken by the government. The Department was aware of the latent demand for higher education in the province, and was of the opinion that Athabasca University should be established as an open university. The Department held the view that the university should provide undergraduate courses for special groups in the province: (1) those who were disadvantaged culturally, educationally, socially, economically; and (2) those who by choice or circumstance could not avail themselves of studies at other Alberta universities.

Keeping in mind the fact that the pilot project had been completed to the Minister's satisfaction early in 1975 and that the discussion paper of the Department of Advanced Education and Manpower had reported favourably on the proposed role and mandate of Athabasca University in June 1975, the final and key decision of the government took only three and one half months in coming.

The Deputy Minister, Dr. W. H. Worth, had written to Dr. T. C. Byrne on August 5, 1975 stating inter alia, that the report of L. W. Downey Research Associates Ltd. released March 24, 1975 (The Athabasca University Pilot

Project) had been taken into account when considering Athabasca University's permanent status.

Again, this is of considerable significance. It should be remembered that the HRRC had been closed down by the PC government August 31, 1972, but this organization had reappeared in much the same way as Phoenix arising from the ashes as the research firm of L. W. Downey Research Associates Ltd. It was in fact the HRRC operating under a new guise, with the same personnel undertaking the same kind of social science research but financed this time by substantial government contracts.

The favourable decision of the Cabinet was conveyed by the Deputy Minister, Dr. W. H. Worth, in a letter dated October 31, 1975 to Dr. T. C. Byrne. First, it was the Deputy Minister who wrote that he was pleased to advise that Cabinet had approved in principle the establishment of Athabasca University as a permanent baccalaureate university. The Deputy Minister wrote also that the Department viewed this as a most significant event and that they looked forward to participating in it. Then, three days later on November 3, 1975 the Minister Dr. A. E. Hohol wrote in a similar manner to the Reverend E. Checkland, Acting Chairman, Athabasca University Governing Authority informing him that he and the other members of the governing authority would

be happy to know that the Executive Council had approved in principle the establishment of Athabasca University as a permanent baccalaureate level university. The Minister wrote also that he looked forward to the continuing cooperation of the authority in what he termed a unique and promising endeavour.

This period clearly seemed to belong more to the forces of the Deputy Minister, the Department of Advanced Education and the governing authority than to the Minister and Cabinet. The initiative for the move to support Athabasca University's existence at this time lay clearly with the Deputy Minister. In a letter dated August 5, 1975 the Deputy Minister had written that he intended to review comments or suggestions originating from the Athabasca University Governing Authority following which the Minister would submit a proposal to Executive Council for consideration and decision. The implication was that subject to the Deputy Minister's approval or consent, the Minister would take the proposal to Executive Council. The scenario alters considerably in the next stage when it is the Minister personally who is seen to take the initiative by promoting legislation which would finally safeguard Athabasca University's interests still further.

Stage IV in the Development of Athabasca University: Endorsement, November 6, 1975-April 12, 1978

This period from November 6, 1975 to April 12, 1978 lasted thirty months during which time the minister was still Dr. A. E. Hohol. The deputy minister for the first eight months of this period was Dr. W. H. Worth, but he resigned from this position June 30, 1976 and returned to the University of Alberta as Dean of the Faculty of Education. Dr. Worth was succeeded by Dr. H. Kolesar on October 1, 1976.

On the same day, October 1, 1976, Dr. W. A. S. Smith, the Dean of Arts at Simon Fraser University, the former president of the University of Lethbridge and a member of the small ad hoc committee described earlier, assumed the position of Athabasca University's second president.

By this time Athabasca University was employing ninety-eight professional staff, forty-four support staff, had provided calendar information to 8,000 people and was providing instructional service to 1,270 students. The student body by this time seemed to fall into three distinct groups: teachers, housewives and clerical workers.

The total expenditure of Athabasca University during the period 1976-77 was $1,986,000. If that figure is compared to the University of Alberta's total

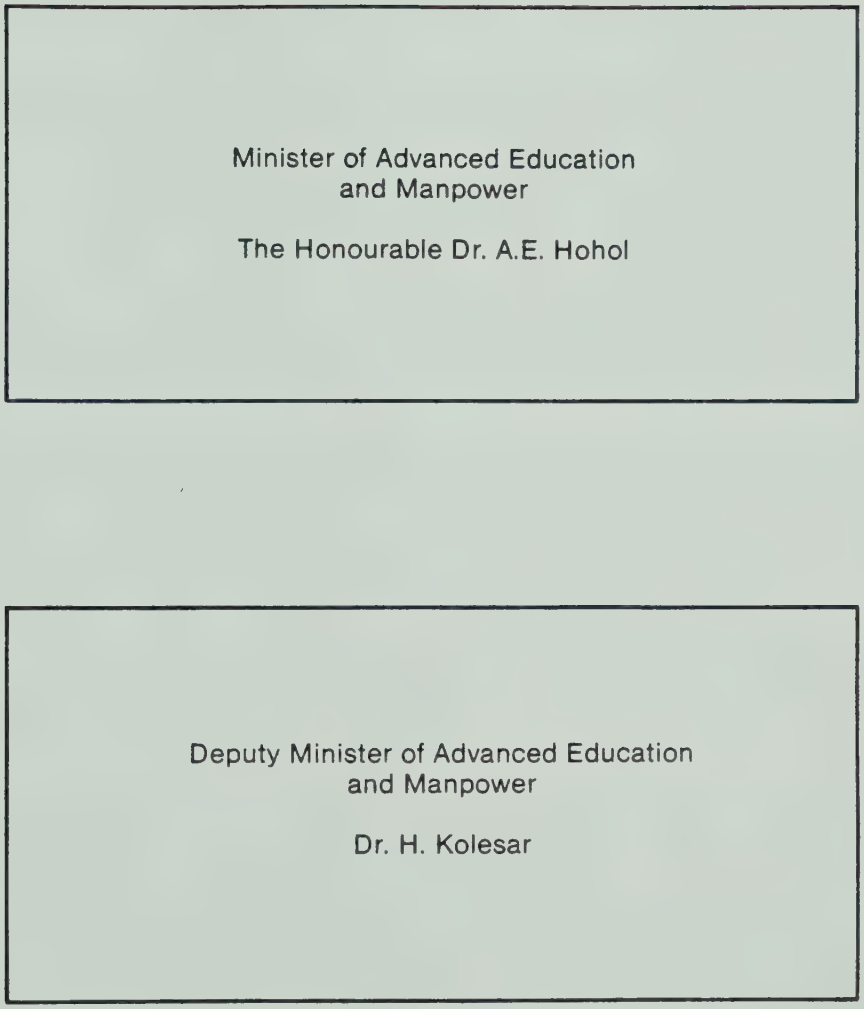

Figure 10. Key personnel involved with the decisions, April 12, 1978

expenditure for the same period 1976/77, $107,396,000 it may seem slight, but the fact remained that Athabasca University had been approved as a permanent baccalaureate university and was indeed a viable institution.

This period 1976/77 was the time when Athabasca became a university in form and fact as well as in name. It was the time when the university began to fulfill its potential. It was also the crucial period when the legalities of Athabasca's position began to be clarified.

Athabasca University had been established by a series of Orders in Council (see Table 1, Appendix C). Some people close to the governing authority were of the opinion that Orders in Council were most unsuitable as a means of legitimizing the activities of the new university.

On April 18, 1977 Dr. R. A. Bosetti, Assistant Deputy Minister of Advanced Education wrote to Dr. Smith, the new president, stating that a meeting had taken place with all four universities. The main topic of the meeting had been Athabasca University's position relative to the other three universities and the Universities Amendment Act 1977. This act was ready for review, and after re-drafting it was hoped that Athabasca University's governing body would function effectively within the Universities Act.

Dr. Bosetti had expressed the opinion that while he did acknowledge Dr. Smith's desire for separate legislation, he had to reassert that it was government policy to govern all universities under The Universities Act.

Legal opinion is of some interest here. Field Owen in a letter to Athabasca University defined a university as follows:

> A university under The Universities Act is an independent corporation and is neither an agent nor an emanation of the Crown. Hence its employees are not civil servants . . . If the Government gives Athabasca a new Act or excludes many of the provisions of the existing Universities Act from Athabasca, it may well be that Athabasca University may properly be characterized as an agent of the Crown and not as an independent corporation. (Field Owen to Athabasca University, 25 April, 1977)

On May 10, 1977 legal opinion from Field Owen, Barristers and Solicitors, re The Universities Act and Bill 45 is again of interest. In brief, the view was expressed in this opinion that counsel was unhappy with the approach of the proposed legislation. The view was expressed that what was created by an Order in Council could be varied or terminated by an Order in Council. Athabasca's position as the fourth university in Alberta should therefore be regarded as extremely suspect. It was held that when the very powers and functions of the university and the composition of its Board could be changed from week to

week by successive Orders in Council, the claim of independence should be regarded more as a hope than a reality. That is, what Athabasca University needed was a separate piece of legislation which would allow it to perform its unique tasks within a proper legislative framework.

The government's position on this matter had been presented by Dr. Bosetti on April 18, 1977. Subsequent legal opinion from Field Owen on May 10, 1977 in Dr. Bosetti's view was "not very positive."

The situation appeared to have been resolved by May 25, 1977. Dr. Smith had written to Dr. Hohol indicating that he appreciated the leadership that Dr. Hohol had demonstrated in providing through the passage of Bill 45, The Universities Amendment Act, 1977, a legislative base from which the university could continue its development.

While Dr. Smith nevertheless hankered for the separate legislation which he believed would be more effective, he was still appreciative and enthusiastic about the present legislative arrangements. In brief, on April 12, 1978 following government policy as previously outlined by Dr. Bosetti, the Athabasca University Regulations were duly constituted, pursuant to Section 4.1 of The Universities Act.

It had taken two governments almost twelve years of constant negotiation from December 20, 1966 to April 12, 1978 to make and implement the decision that there should be a fourth provincial university.

As a postscript, it should be recorded that in appreciation of Dr. Hohol's sensitive handling of Athabasca University's peculiar legislative problems, the university bestowed upon him an Honorary Professorship at the June 15, 1979 convocation.

Review of the Four Stages of Development

The genesis and development of Athabasca University has been considered in four distinct stages (see Figure 4, p. 92): euphoria, moratorium, acceptance and endorsement. Each of these four stages was associated with different key personnel. One of the aims of this chapter was to identify these key personnel and the different styles and characteristics that could be observed about them. The four situations are reviewed again and the differing roles of the ministers and deputy ministers are examined to ascertain what similarities and differences existed.

Stage I: Euphoria

This was the period from June 25, 1970 to August 31, 1971. The Social Credit Minister of Education was The Honourable Robert C. Clark and the Deputy Minister

of Education was Dr. T. C. Byrne.

During this period it was argued that the enthusiasm, optimism and perhaps idealism of the energetic minister were harmoniously balanced by the experience, astuteness and, above all, common sense approach of a most highly regarded, respected and trusted deputy minister.

Stage II: Moratorium

This period extended from September 10, 1971 to December 20, 1972. The PC Minister of Advanced Education was The Honourable J. L. Foster and the Deputy Minister of Advanced Education was Dr. W. H. Worth. Three other persons, Dr. R. E. Rees, Mr. A. Bredo and Mr. J. P. Mitchell, had been named to the position of deputy minister prior to Dr. Worth's appointment, but as these appointments were of a temporary or interim nature only, Dr. Worth's appointment was taken into consideration.

This period was characterized by a more conservative, cautious and restrained approach on the part of the minister, whereas a dynamic, energetic, pragmatic and far sighted approach was demonstrated by the deputy minister. This combination of two different administrative styles was to be ultimately of distinct advantage to Athabasca after the freeze or moratorium was over.

Stage III: Acceptance

This period lasted from December 20, 1972 to November 6, 1975. The same minister and deputy minister were in office as in the previous period, with the exception that a new Minister of Advanced Education and Manpower, The Honourable Dr. A. E. Hohol was appointed on April 13, 1975.

During this crucial period, the deputy minister displayed the same forceful characteristics and the same pragmatic approach that he displayed in the preceding stage. The minister was less restrained in his approach with the result that the government came to accept this new and totally different concept of a university.

Stage IV: Endorsement

This period lasted from November 6, 1975 to April 12, 1978. The minister for the complete period was still Dr. A. E. Hohol, and the deputy minister for the first eight months was Dr. W. H. Worth. He was succeeded as deputy minister by Dr. H. Kolesar. In the three previous stages the initiative for decision making seemed to lie clearly with the deputy ministers due in part to the detailed nature of the planning that was being undertaken in the preliminary stages of Athabasca University's development. In this final stage when the Alberta legislature passed regulations allowing formal

establishment of Athabasca University, the initiative for decision making was clearly with the minister. The thoughtful and sensitive responses to this issue by the minister were greatly facilitated by an efficient and productive Department of Advanced Education and Manpower.

Summary

This chapter has been a review of the four stages in the genesis and evolution of Athabasca University. It was proposed in the chapter that there were clearly four stages in this development: (1) a period of euphoria; (2) the moratorium; (3) the acceptance stage; (4) the endorsement stage.

It was argued also that prior to the commencement of stage I, i.e., the initial period of euphoria, there were a number of closely-related events within the external educational environment which greatly contributed to setting the scene for the promotion of an idea as the establishment of a new university within the province.

While it is understood that solutions to new educational problems must have been formulating in many people's minds for possibly several years, a starting point was made with the 1957 Advisory Committee on Education established by the Minister of Education. From

this commencement date the key educational reports, the major events within the external educational environment and the decisive Orders in Council were recorded and analyzed.

It was considered further that the period prior to stage I was most significant in this study. Hence the detailed analysis of the groups of influentials and the informal networks of elitist special interest groups who were referred to in the study as conglomerates of power, persuasion and influence (see Figure 5, p. 94).

These groups were identified and an assessment was made of their input to the total decision-making process. The introductory stage or the seminal period was analyzed in some detail because this period clearly set the scene for the succeeding stages. This type of detailed analysis was not repeated before describing the events in stages II, III and IV mainly because the events described in the introductory period influenced to a great extent the three succeeding stages.

The analysis of the introductory or seminal period was followed by further detailed analyses of the four identified stages, referred to in this study as: (1) the initial period or the period of euphoria; (2) the moratorium or the time of the budgetary freeze; (3) the acceptance stage when the experiment with the pilot scheme was

undertaken; and (4) the time of endorsement when the university as it is known today was finally accepted by the government.

It was in these four sections that an analysis was made of (1) the working relationship and (2) the differences in administrative styles that existed between the minister of education and his deputy minister. In this analysis of the relationship between minister and deputy minister, it was contended that in the first three stages of development the initiative for decision making lay clearly with the two deputy ministers, but in the fourth stage the minister himself assumed a more dominant leadership role in guiding the required regulations through the legislative process.

Chapter 5

CONTEXT AND INTERPRETATION

Introduction

Two separate, distinct yet related problems are analyzed in this dissertation. In Chapter 4 the real world of policy making pertaining to the establishment of Athabasca University is described in some detail. The influentials, the elite groups and the informal networks have been identified and their respective contributions to the establishment of Athabasca University have been analyzed. In this second component of the study some generalizations and conclusions, based on an analysis of the identified events, are developed to provide greater understanding of the policy-making process.

This chapter includes some theoretical generalizations and conclusions presented in the form of: (1) propositions which have been derived from the study; and (2) a classification scheme in which three basic types of policy making are outlined (see Figure 11), and which may be regarded as a theoretical screen.

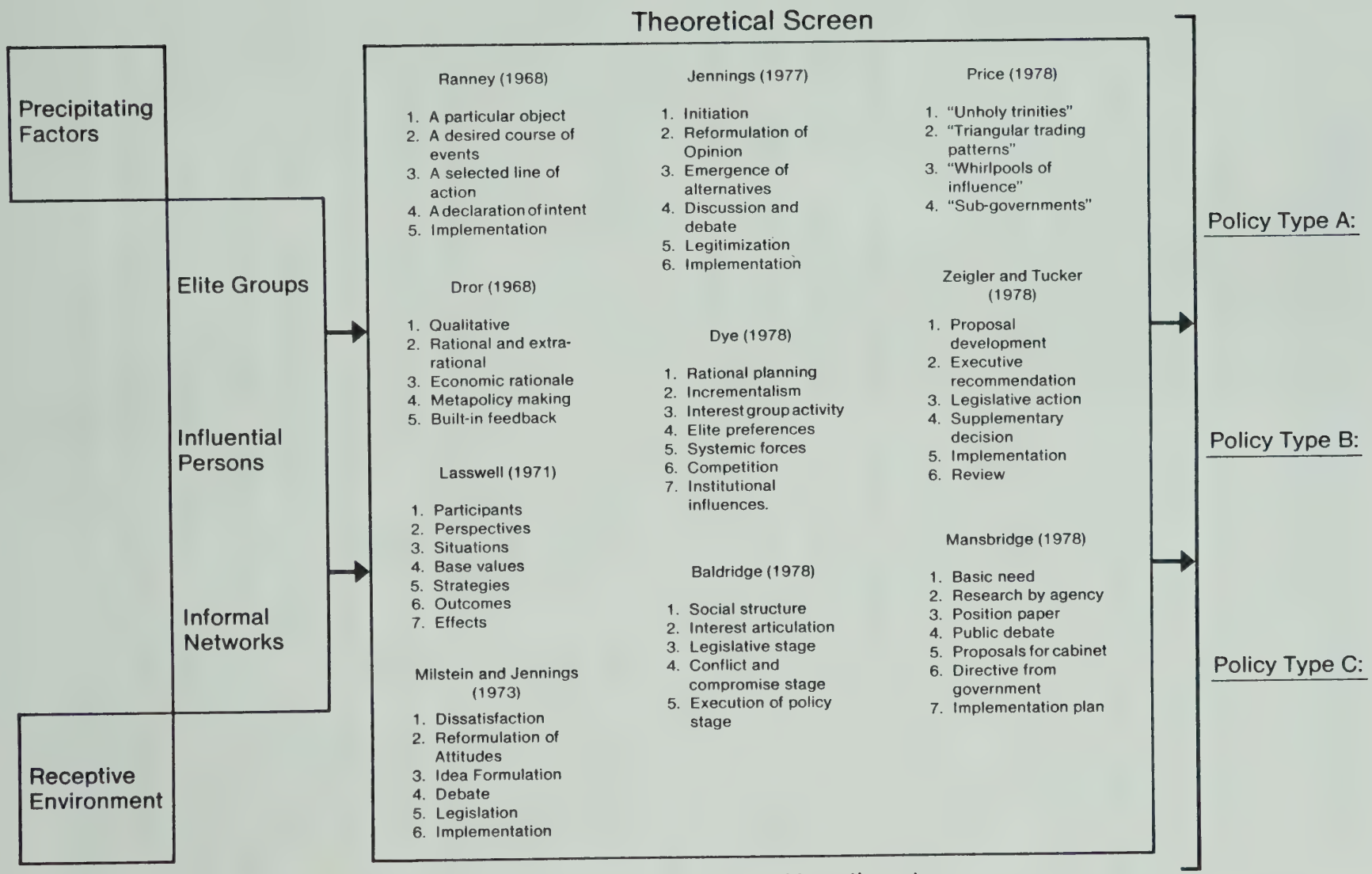

Figure 11. Policy making: three types

Theoretical Bases in the Study of Elite Groups, Socio-Political Relationships and Informal Political Structures

Wright Mills (1956) developed the thesis that certain key institutions in society were always controlled and dominated by a few men. This seems to have been the situation regarding the development of higher education in Alberta in the period under review.

Another view of the concept of elite groups has been proposed by former Canadian Prime Minister Pierre Trudeau (1968:404) who defined an elite group as all those who could think and orient their efforts towards the common good. Trudeau argued that this group might have consisted of manual labourers, street sweepers or university professors but what made them an elite was their aptitude to think and care for the general good. Conclusions reached by Zeigler and Tucker (1978) were similar to the conclusions reached in this study into the origins of Athabasca University, i.e., most of the important decisions were made well before the issue reached the legislature. According to them, official bodies such as state legislatures and school boards rarely initiated policy. Zeigler and Tucker (1978:137) argued that by the time the legislature, council or school board come into play the issue and the policy options were well defined.

This study should therefore be viewed as one combining pure power political relationships and the more inclusive socio-political patterns of action. In Stein's (1968:42) view, pure power political relationships involved power, authority and rule used in the coercive sense. On the other hand, socio-political patterns of action involved authoritative decision making in a society. This included both formal and informal structures such as the executive, legislature, judiciary, political parties and political groups.

Stein (1968:44) argued that political scientists had come to include the informal political structures in their analyses of political systems. Concepts had been developed which gave some precision to institutions and patterns of action such as: (1) political parties; (2) pressure groups; (3) political movements; (4) cliques and factions; (5) competing elites; and (6) political cultures and sub-cultures.

The arguments proposed by Stein and by Meekison (1968) that events in recent years had caused a number of people to study the federal system, to examine its theoretical bases, its development and its problems could well be applied with some modifications to this present study into the origins of Athabasca University.

The period under investigation concludes in 1978

which is ten years after these arguments were proposed, and the political scene is provincial rather than federal, but the same comments apply equally to this study. Interest now seems to have swung more heavily to the provincial political setting, particularly in the present (1979) political climate. This study therefore was an investigation into: (1) the political parties; (2) the pressure groups; (3) the elites and factions who were involved in the early discussions that led ultimately to the establishment of the fourth provincial university.

Theoretical Generalizations Based on an Analysis of Policy-Making Procedures which Resulted in the Establishment of Athabasca University

The major purpose of this study was to describe the genesis and evolution of Athabasca University. The first subproblem was concerned with the identification and description of specific factors associated with the Orders in Council which authorized the different stages of the university's establishment. The second subproblem was concerned with the development of some theoretical generalizations and conclusions based on an analysis of the identified events which would facilitate an understanding of the policy-making process.

This section is based on: (1) a synthesis of the views of the policy analysis researchers (see Figure 11,

p. 156); and (2) information which was obtained in the course of the investigation. The section will consist of two distinct parts.

Part I: Following the proposals of Zetterburg (1965) and Hage (1972), a series of propositions was developed which could become the bases for further research and study in the area of policy making.

Part II: Guided by the overall perspective that: (1) theory should be grounded in data (Glaser and Strauss, 1967); (2) Becker's (1958) utilization of a descriptive model; and (3) Hage's (1972) synthetic approach, a composite descriptive model was developed (see Figure 11, p. 156).

On the basis of this composite model, it is proposed to argue that educational policy decisions could be analyzed and categorized according to three policy types: Type A, Type B, Type C. These three policy types will be explicated in Part II.

Part I: Propositions: Introductory Comment

The propositions outlined in this statement were derived from the observations and analyses made in the course of the investigation. The first observation

concerned the length of tenure in office of a political party. Where one political party had held office for a lengthy period, it could be expected that the party would take significant measures to ensure that it remained in office. These steps could be expected to include: (1) a new and different approach to public policy making; (2) the publication of a comprehensive document in which the major phases of the plan would be outlined; and (3) a plan which would be designed and intended to capture the imagination of the voting public. There would be difficulties in the identification and the pinpointing of the precise origins of such a policy.

Interest groups and individuals would be associated in various ways with this new policy, but it is suggested that there would be some form of: (1) an elite group; (2) an ad hoc committee; (3) a steering committee; or (4) simply a group of influentials who had sufficient commitment and political power to ensure that the policies they were advocating would be accepted.

It could be argued that the effectiveness of this elite group or ad hoc committee would depend to a large extent on: (1) the degree of informal interaction; and (2) the degree of compatibility that existed among its members. Hence the more informal contact among the group members the greater the mutual liking. Therefore it could

be assumed that there would be a more successful generation of new ideas. This ad hoc group would constitute an inside group, the members of which would presumably demonstrate varying degrees of upward social or career mobility and degrees of cosmopolitism. The group members would engage in political bargaining and in trade-offs among each other so that their individual positions could be maintained.

Finally it is proposed that a key factor in the success or failure of the new policy would be the regard or esteem in which the participants were held by those in positions of power and authority. Assuming the key personnel are held in such high regard, then the chances of successfully proposing and implementing a policy would be very much greater.

Introductory propositions. The following propositions have been derived by the writer from the data presented in Chapter 4 and represent the generalizing process from the concrete examples as they relate to the establishment of Athabasca University to a more abstract level of policy analysis in general. The Introductory Propositions represent, in particular, generalizations relating to the activities that took place in the Introductory Stage and Seminal Period (see Figure 4, p. 92).

1. The longer a political party remains in power and the more favourable the social climate at the time,

the more likely it is that there would be some tangible response from government in the form of a radically different policy.

Example: The Social Credit Government felt obliged to restyle and update its declining image. The former paternalistic approach which was suited to the years of depression and the period of World War II was no longer acceptable in the 1960's. Hence this new policy approach with an emphasis on the human resources idea.

2. The more complex the resultant policy, the greater the difficulty of identifying the origins of the policy.

Example: Regarding the establishment of Athabasca University, the members of the following groups, the ad hoc committee, the executive assistants and special consultants, the members of the Social Credit Government, the various commissions, agencies and the University of Alberta, all had a legitimate claim to be in some way partly responsible for the creation of the fourth provincial university. It was, therefore, somewhat difficult to pinpoint the exact source of the idea.

3. The more innovative and unconventional the policy program, the greater the degree of political risk for all those concerned in this policy-making process.

Example: One member of the ad hoc committee, engaged by and working for the Social Credit Government, was at the same time advising the PC party on educational policy and planning matters. This action was interpreted by some observers to indicate that some members of the committee were aware of the risk involved in being associated with innovative and unconventional programs and they were therefore determined to safeguard their own interests by cooperating with both the major parties.

4. The more complex the proposed policy, the greater a need for an expert and ad hoc committee to formulate planning strategy in the initial stages.

Example: In this case there was unanimous agreement that the five members of this expert and ad hoc committee represented the greatest expertise in Alberta at that particular time in the area of educational planning and development. The government of the time was of the opinion that they had obtained the best advisers in Alberta who could then assist them with taking the appropriate methods to deal with the increased student enrolment in Alberta post-secondary institutions and other associated problems.

Propositions emphasizing the informal approach. The following propositions represent, in particular, generalizations relating to the perceptions of the professional

activities of the ad hoc committee and executive assistants or special consultants (see Figure 6, p. 120).

5. The greater the degree of conceptual planning required in the formative stages of new policy development, the greater the requirement for an informal approach at this stage.

Example: Both the ad hoc committee and the executive assistants (see Figure 6, p. 120) would agree to the claim that they were more productive when working together in an informal way, i.e., they did not meet at prescribed times, they did not follow a set agenda nor did they conform to the rules of procedure. They were constantly producing innovative ideas and testing these among each other. This approach seemed to be highly productive and satisfactory from both groups' points of view.

6. The greater the degree of informal interaction among the key participants, the greater the chance of formulating and implementing a successful policy.

7. The greater the degree of informal interaction among the key participants with those in positions of power and influence, the greater the chance of promoting a successful new policy.

8. The higher the frequency of interaction among the key participants in promoting new policy, the greater

the likelihood of a greater mutual liking among these key participants.

9. The greater the level of compatibility among the key participants, the greater the chance of promoting a successful new policy.

10. The closer the relationship among the participants involved in this particular policy-making process, the more likely it is that a policy would be formulated.

Propositions 6-10 are concerned with the degrees of informal interaction, the frequency of interaction, the levels of compatibility, the closeness of the relationships and the degree of commitment that were evident in these two groups. Due to the similarity of these propositions, the following more general statement is presented to exemplify some of the issues that became apparent.

6-10 Example: It was well known that the members of this ad hoc committee or more colloquially the "Back-room Boys" knew the same people, met together informally on regular occasions, knew some members of the government intimately and in general terms were considered to be part of the same social circle (cf. Alba, R. D. and Gwen Moore, 1978).

Similar ideas could be applied to the group known collectively as the executive assistants or more

colloquially as the "Whizz Kids." Though they were not considered a group to the same extent as the ad hoc committee, propositions 6-10 can be applied equally to this group. They, too, knew the same people, met with each other informally on regular occasions, knew most members of the government intimately, and in general terms were considered to constitute their own particular and separate social circle.

11. The greater the need for the generation of new ideas, the more likely it is for an inside group to undertake this task.

Example: Members of the Executive Assistants and Special Consultants who were interviewed were almost unanimous in their comment that the new policies could not have been initiated and implemented without utilizing a dedicated inside group of party workers, such as themselves, who produced most of the ideas and statements relating to the new policy approaches. It was strongly hinted that there was, in fact, even a more exclusive circle within this group, i.e., only some of the assistants were really privy to all the key decision making that took place.

12. The more successful the formulation of the policy, the greater the degree of commitment by those directly engaged in the policy formulation.

Example: It was self-evident to members of both groups, mainly the executive assistants and to a lesser extent the ad hoc committee, that the productivity of these groups was directly related to the extent of government reliance on their expertise and the cabinet's approval and appreciation of their accomplishments. Members of both groups who were interviewed referred to the long and irregular hours which they worked to complete projects.

Propositions emphasizing the key participants. The following propositions still represent, in particular, generalizations relating to perceptions of the key participants. This time, however, the propositions reflect the personal characteristics of the members of the key ad hoc committee.

13. The more cosmopolite the key participants involved in the policy-making process, the more likely it is that they would succeed in formulating the proposed policy.

Example: The members of this ad hoc committee, and to a lesser extent the executive assistants, were known provincially, nationally and internationally. Therefore it could be reasonably assumed that any new policy venture with which they were associated would be successful.

14. The more upwardly mobile the key participants, and the greater degree of controversy in formulating new policy, the more likely it is that key participants would be prepared to modify their own demands and engage in political bargaining and trade offs.

Example: This proposition can be exemplified by the decisions which related to the Alberta Academy and to some extent the ecumenical university. Neither of these proposed institutions came to fruition, for those who were concerned with their promotion were quick to realize that they were likely to be outvoted in committee, but perhaps more important the proposers of these ideas were mollified to the extent that the ideas which they were proposing were eventually incorporated in the new institution.

15. The more the key participants in the policy-making process are held in high regard by informed observers, the greater the chance such proposals have of final acceptance by government.

Example: It was generally agreed that the Deputy Ministers, the Chairmen of the various commissions and the HRRC were held in reasonably high regard with respect to the courses of action that they were proposing. Some deans, professors, clergy and members of society who chose to articulate their thoughts approved the efforts

that were being made. As there was so little apparent overt opposition, the government was thus more inclined to heed the advice being offered by their key policy makers.

The following propositions, emphasizing the aspect of social conscience, have been included for further study and examination, though the evidence upon which they are based is tentative. Some observers would classify the premises on which these propositions are based as examples of conjecture. Nevertheless, the basic ideas expressed in the following two propositions were developed during the study and are considered worthy of further investigation.

Propositions emphasizing the aspect of social conscience. These propositions represent in particular generalizations relating to the modus operandi, first of the Social Credit party and then of the Progressive Conservative party, as perceived in this investigation.

16. The more a political party chose to emphasize the aspect of social conscience in its party platform, the more likely it would be that the party would utilize a conceptual framework in its problem solving rather than parties which did not specify a social conscience approach in their platform.

Example: In this situation the Social Credit party was perceived to be a conservative party, but a party with a strong social conscience and a highly developed social welfare program. To achieve these broad aims, it was considered necessary by party functionaries that there should be some type of master plan or conceptual framework within which to plan a detailed program. (cf. Manning, E. C., A White Paper on Human Resources Development, 1976b.)

17. The more a political party chose not to specify a social conscience approach in its problem solving, the more likely it would be to adopt an ad hoc approach to sensitive political issues and problems.

Example: The present PC Government which has strong electoral support, and adequate material resources, does not need to develop broad frameworks within which to plan future strategies. The party merely needs to react to the various sensitive areas and issues as these arise and thus satisfy the electorate.

Part II: Three Type Classification Scheme of Policy Making

Following the proposals of (1) Homans (1950:16) who stated that in theory building the researcher should first look at the obvious and then state it in its full generality, (2) Becker (1958) who proposed that the observer should design a descriptive model which best

explained the data he had assembled, (3) Hage (1972) who favoured the construction of syntheses combining different theories and ideas with each other, (4) Glaser and Strauss (1967) and Glaser (1978) who argued that theory should be grounded in data and should proceed from a substantive level to a general substantive level and finally to a formal stage, the following three-type composite model of policy making has been developed (see Figure 11, p. 156).

The model consists of three distinct components: (1) An Input Grouping which consists of elite groups, influential persons and informal networks whose total effectiveness depends upon the relationship between a receptive environment and the precipitating factors which have been outlined in Chapter 4. (2) A Theoretical Screen through which the ideas from this initial grouping are then processed. The screen is based on the conceptualizations of ten researchers in the area of policy analysis. Each of these researchers seems to perceive that policy emerges in a particular way. (3) Three Basic Policy Types: while a useful conceptual framework may be developed by utilizing the above theoretical base, a more pragmatic approach incorporating a three-type classification scheme is now presented for consideration.

On the basis of all the information which was obtained in the study: (1) mainly from the forty-five

interviews and the associated analysis of supporting documents; and (2) partly from a synthesis of research of selected policy analysts, it now seems as if the policy-making processes can be categorized into three basic types.

Policy Making Type A: These are in every sense bona fide policies characterized by a degree of candour, honesty and scrupulousness. They are essentially unambiguous and sincere.

Policy Making Type B: These are the policies of expedience or opportunism. They are characterized by a pragmatic and a contrived approach to policy issues.

Policy Making Type C: These are the policies of appeasement which are characterized by a degree of moderation, mollification and conciliation.

A more detailed analysis of these three policy types follows.

Type A: Bona Fide Policy Decisions are the result of justifiable pressures in society. They are decisions which would be difficult to challenge on any ground. The initial decision to establish Athabasca University would be an example of a Type A policy decision. This decision was based on projections in student enrolment, since proved to be incorrect, that another university was necessary.

Other examples of bona fide policy decisions follow. (1) The response a government makes when faced with an overall increase in student numbers. Usually this means an increase in financial allocations which then result in the provision of extra places and an increase in staff. (2) The decision to provide foreign language instruction to particular ethnic and minority groups who make such a request. This decision could be justified on the grounds of social justice and equity. (3) The decision to increase provincial housing grants to selected Indian reserves where an increase in infant mortality rates has been experienced due in part to poor housing conditions. (4) The decision to provide old age security and unemployment insurance programs.

Type B: Policy Decisions which are Politically Expedient or Opportunist. These are decisions which could be challenged. They are usually prompted by a desire to allay strong local demands in particularly sensitive areas. For example, some self-interest groups may demand economic advantages from government, particularly if the government is seen to be generous in providing economic benefits to other groups. While there did not appear to be any obvious examples of opportunist or expedient policy making in the genesis and evolution of Athabasca University, some of those interviewed who would have been in a knowledgeable position stated that the establishment

of the University of Lethbridge can be placed in this category. Contrary to all expert advice, the Social Credit premier chose to establish Alberta's third provincial university at Lethbridge on purely political grounds. Some arguments proposed in the current debate (1979) on the energy resource situation in Canada could also be categorized as spurious, equivocal or politically expedient.

Another example of an opportunist or politically expedient policy came to light in dramatic fashion after the May 1979 Federal election. Ronald Atkey now the PC MP for the St. Paul's Riding, Toronto was opposed to sitting Liberal John Roberts. During the course of the election campaign it was considered politically advantangeous to announce that Canada would recognise Jerusalem instead of Tel Aviv as the capital of Israel. This announcement designed to influence particular voters, may have had the desired effect. The final figures were: Atkey (PC) 19,507, Roberts (L) 18,065, Lockyer (NDP) 5,923. Atkey won by 1,442 votes and was subsequently appointed Minister of Employment and Immigration. The announcement concerning Canada's recognition of Jerusalem has since been described in the following terms: a combination of diplomatic naivety, ineptness, tactlessness and political expediency and opportunism. Subsequent statements June 7, 1979 and July 4, 1979 by the present Prime Minister confirmed that a serious error of judgement had been made in

announcing that Canada would recognise Jerusalem.

The fact remains that at the time prior to the May 1979 election it was considered politically expedient to make this announcement concerning Canada's recognition of Jerusalem. Thus a sufficient number of voters in the St. Paul's riding were believed to be influenced and Atkey replaced Roberts.

Type C: Policies of Appeasement, Moderation or Conciliation. Other policy decisions may be categorized as policies of appeasement, moderation, mollification or conciliation. There are clearly some situations when a government could have moved in any of three different directions. A government could complete a project, terminate a project, or follow a middle of the road course and set up a pilot project.

According to Mansbridge (1978:320) this classical dilemma of governments is exposed when a new program has been launched in the form of a pilot project. Mansbridge (1978:320) stated that it was rare to see an evaluation conclude with the recommendation that a project should be discontinued once it had been instigated.

An example of this kind of policy in the current study is illustrated by Order in Council 1986/72, December 20, 1972. The order:

> empowers and authorizes Athabasca University Interim Governing Authority to undertake a pilot project for the production, testing and application of learning systems to provide study programs in the arts and sciences leading to an undergraduate degree, and for the application of technology and new procedures to improve educational opportunities for adults generally.

One other example of this type of policy outside the scope of the present study came to light June 23, 1979 with the announcement that Robert Stanfield would head a fact-finding mission into the Tel Aviv/Jerusalem affair. In making this announcement it could be assumed that the Minister of Employment and Immigration, Ronald Atkey, was still concerned with trying to appease his constituents. It might be argued that this action also demonstrated the minister's inability to separate politics from administration.

A Final Comment on Some of the Methodological Problems in this Study

The researcher feels obliged, at this point in the study, to indicate that three caveats, at least, should be observed.

First Caveat: The Nature of the Data

The very nature of the qualitative data utilized in this study presents problems for scholars more familiar with the quasi-scientific methodologies adopted in

contemporary social science research. The initial data for this study were obtained from interviewing people who were knowledgeable about the genesis and evolution of Athabasca University. This aspect presented some real difficulties and problems, for while the great majority of those approached for information were willing to talk and reminisce about the events of ten years ago, these same people were somewhat reluctant to have particular items of information attributed to them. They spoke freely on the assumption and guarantee that their anonymity would be respected. At the same time, in several cases, the interviewees readily agreed that the incidents and events which they were recalling had happened possibly some ten years earlier and therefore many of them were experiencing difficulty in remembering the finer points of detail.

These two points should therefore be emphasized: (1) the limitations placed upon the researcher by the interviewees insisting on some degree of anonymity; and (2) the interviewees themselves sometimes having difficulty in recalling events which had occurred ten years earlier. Therefore as a guarantee for the authenticity of the information contained in the narrative of this thesis, the raw data, i.e., the tape recordings of those interviewed, the files and the majority of documents are held in the Department of Educational Administration for a period of five years. A researcher who seeks additional information

or verification of the information contained in the thesis will be granted access on the condition that he also will respect the confidentiality and anonymity of the persons concerned.

Second Caveat: The Limitations of the Findings

The generalizations produced in the study do have severe limitations. In fact, this researcher found himself referring to examples unrelated to this study in order to provide more substantive support for postulating policy types B and C. Hence, some critics would classify several of the generalizations only as examples of conjecture based on limited qualitative data. Whilst agreeing in part only to this criticism, this researcher does grant that the propositions should be subjected to more rigorous examination either by a replication of the study or preferably by undertaking a similar study into the genesis and evolution of another institution.

Third Caveat: The Use of the Grounded-Theory Approach in Relation to this Study

A criticism could be related to the use of the grounded-theory approach. This methodology was originally intended to be utilized by a researcher on the basis of the direct observation of his subject(s). In this study, no such direct observation was possible; the researcher

was relying purely on a second hand approach to information/data gathering. The researcher had to rely on information which was obtained from a number of cooperative participants. It is conceded that the direct participant observer technique may be more productive in generating a grounded theory than the indirect method adopted for this study. It is conceded also, that there may be weaknesses in the utilization and application of the grounded-theory technique as described in the study. The researcher would argue that while advocating generally in favour of the strategy of generating grounded theory, he admits some reservations about the use of the grounded-theory method in this study. For example, the fact that no direct observation of the events and incidents was possible, the researcher instead had to work through a third party and elicit information from them. Second, it is quite possible that similar findings might have been produced without utilizing the grounded-theory method at all. Another research procedure culminating in generalizations from the analysis of a single case study might have produced identical results.

On the other hand, a replication of this study using the same inductive approach might result in a set of postulations which could be at variance with those expressed in this study. One reason why this could be the case is that the "theoretical screen" was internalized by

this researcher and not made explicit in the text.

Summary

The emphasis in this chapter was on the development of some generalizations and conclusions. These were presented in the form of propositions, and a policy classification scheme. They were based on an analysis of the identified events in the investigation. It was the intention in developing these two ideas that it would then facilitate a more comprehensive appreciation of the policy-making process.

The idea was expressed in this chapter that the most important decisions seemed to have been made by elite groups, influential persons and informal networks even before the issue reached the legislature. Similar conclusions to this were reached by Zeigler and Tucker (1978) in studies they carried out in the United States. The concept of elitism was analyzed according to Mills (1956) and Trudeau (1968). The study could be viewed (following Stein, 1968) as one which combined pure power political relationships and the more inclusive socio-political patterns of action. According to Stein (1968) this type of approach included an analysis of the informal political structure within a political system.

Some theoretical generalizations were developed and

presented in the following form: (a) seventeen propositions which could become the bases of further research and study in the area of policy making; and (b) a model which was based on a synthesis of all the information obtained in the study.

In brief, the model could be described as an attempt to describe the social reality of the situation. It was proposed in this model that three basic types predominated in the policy-making process: Type A exemplified by bona fide policies; Type B exemplified by opportunist or expedient policies; and Type C exemplified by policies of appeasement.

It is the opinion of this writer that the establishment of Athabasca University represents an example of a Type A policy decision. It was indicated by the evidence obtained in the investigation that those people responsible for the university's establishment were motivated by justifiable pressures in society.

In conclusion, a final comment concerning some of the methodological problems was presented. These were summarized in the form of three caveats for future readers. The caveats took the form of a cautionary note about: (1) the nature of the qualitative data; (2) the limitations of the findings; and (3) a proviso about the use of the grounded-theory approach in relation to this study.

Chapter 6

SUMMARY AND CONCLUSION, IMPLICATIONS AND SUGGESTIONS FOR FURTHER RESEARCH

There were two distinct problem areas in this study.

1. To identify and describe the specific factors that were associated with the genesis and evolution of Athabasca University to April 1978 when it was finally approved as a permanent self-governing post-secondary institution.

2. To develop some generalizations and conclusions, based on an analysis of the identified events which would then facilitate an understanding of the policy-making process.

Theoretical Context and Methodology

The study was concerned partly with the generation of substantive grounded theory related to the policy-making process. By focusing on a substantive area (see Figure 2, p. 63) theoretical statements and propositions were generated. This process was carried out by a comparative analysis of selected aspects of the four stages of development.

As illustrated by Figure 3, p. 74 the particular

sociological perspective within which the study was undertaken was ill defined at first. While some of the information relating to the study was well known, there were other pockets of information, usually in isolation, which surfaced as the investigation proceeded, and these had to be fitted into the total picture. As the study proceeded (see Figure 1, p. 10) in the way Glaser (1968) had outlined, substantive theory was developed in the form of propositions and a three-type classification scheme of policy making.

This study should therefore be viewed as a progressive building up of facts through a substantive level to a more general substantive theoretical level. To arrive at this level of theory generation many facts had to be obtained through an ethnographic/direct data collection process. (cf. Glaser, 1967:35, 1968:5; 1978:147)

These operations of: (1) data gathering; (2) data analysis; and (3) conceptual integration were carried on simultaneously. Both Glaser (1966) and Rist (1979) have described in detail the way in which these three processes are carried out. They would agree that in qualitative work of this type there tends to be a continual blurring and intermingling of all three operations from beginning till end. There was no clear cut division between the data

collection process and the data analysis stage.

The strategy of comparative analysis applied to the four stages of development (see Figure 2, p. 63) was considered to be essential to this study. By an analysis of these four stages, theoretical propositions, the theoretical screen (see Figure 11, p. 156) and the three types of policy were developed.

Detailed problem statements are not considered prerequisite to field research in general and as occurred in this study, and predicted by Schatzman and Strauss (1973), the problem statements tended to come into focus more clearly as the study progressed.

The grounded-theory approach was the methodology adopted in the study. Following the approach of Glaser and Strauss (1967) and Glaser (1978) data were obtained from: (1) the forty-five semi-structured interviews; (2) observations; and (3) a detailed analysis of supporting documents. This combination of data gathering processes resulted in the empirical generation of the propositions and the classification scheme. The purpose of the grounded-theory approach was not to give a complete coverage of the area in a descriptive logico-deductive sense, but rather it was more concerned with the explanation of social phenomena in terms appropriate to the particular substantive area.

The grounded-theory approach can be justified on the grounds that linkages between: (1) theory; (2) research; and (3) practice can be adequately demonstrated. It is proposed here that social science research and theory can be related more usefully to a problem when related to the data by the conceptual link of a grounded-theory approach. It is the opinion of this writer that there is a need to promote inductive research such as carried out in this study as a legitimate means of enquiry. Some bias can still be observed which might seem to favour the deductive experimental designs as a preferred form of research. Rist (1979) and Guba (1979a, 1979b) have argued convincingly that there is an increasing interest in and a demand for qualitative/ethnographic studies.

Summary of the Major Outcomes

A brief summary of the major outcomes and findings of this study into the policy-making processes now follows. It could be assumed that in any future study into a similar specific educational policy-making issue the following phenomena could be observed.

Summary of Findings Related to the First Subproblem: The identification and description of specific factors associated with the genesis and evolution of Athabasca University to April 1978.

1. An Introductory Period of Key Events: It is reasonable to expect that in any major policy issue there would be a preliminary series of events or incidents leading up to the major issue. It would be necessary to identify and analyze these events which could be perceived as providing a framework within which the intellectual and emotional climate required for the successful implementation of the policy could develop.

2. Elite Groups, Influential Persons and Informal Networks: It is also reasonable to expect that in any major policy issue some people would be perceived to be the influentials in shaping this policy. They could be seen to be operating overtly as an elite group or alternatively they might operate in a covert manner as an informal network. In either event these groups would be seen to be the key opinion makers. It is considered an essential part of the study that these groups should be identified.

3. Discernible Stages in the Progression of the Policy: In this study four distinct stages were clearly discernible and these have been categorized as follows: (a) a period of euphoria; (b) a moratorium; (c) a period of acceptance; and (d) a period of endorsement. It is plausible to assume that in future studies of this type stages similar to those already mentioned would emerge. The terminology might vary but it could be presumed there

would still be periods of great enthusiasm for a proposed policy which would be followed by periods of reflection. This pattern could be expected to continue until the policy was finally accepted.

4. Perceived Differences in Leadership and Administrative Styles: One of the major interests in this study was a comparative analysis of differences in leadership styles among selected key personnel. It could be assumed that in any similar studies an obvious grouping for such a comparative analysis would manifest itself. In this study the focus of attention was mainly on differences that were perceived to exist in the way the various ministers and deputy ministers carried out their roles in the four stages of the university's development. The strategy of this internal comparative analytic approach in this type of study was considered essential in generating information for a fuller understanding and appreciation of the policy-making phenomena.

Summary of Findings Related to the Second Subproblem: The development of some generalizations which would facilitate an understanding of the policy-making process.

5. The Generation of Theoretical Statements: One of the major outcomes of the study was the generation of theoretical statements. Propositions were developed relating to significant aspects of the investigation:

(1) propositions leading up to the introduction of an innovation; (2) propositions relating to the professional activities of ad hoc committees; (3) propositions relating to the personal characteristics of key participants; and (4) propositions relating to the modus operandi of political parties. It was suggested that these propositions could be considered for future investigations into the policy-making process.

6. A Three-Type Typology Proposed for the Interpretation of the Data: In this study it was argued that resulting from an interaction of: (a) certain precipitating factors; (b) a receptive environment; and (c) the activities of identified elite groups, influential persons and informal networks, it was possible to isolate and describe three distinct types of policy making. This process was initiated and developed within the theoretical framework which the researcher developed. It was suggested that by (1) superimposing this proposed typology on any future public policy or educational policy decision, and (2) allowing the public access to this information, to which they are entitled if the democratic process is to be at all credible, the quality of such policy making could be expected to improve.

Suggestions for Further Research

1. A similar study could be undertaken into the genesis and evolution of the University of Lethbridge. According to informed sources the establishment of this third provincial university was based to a great extent on political and not educational grounds. This thesis could be verified in the study.

The theory proposed in the present study of investigating policy making could thus be verified, by utilizing the same approach of: (a) conducting semi-structured interviews; (b) undertaking some associated observations; and (c) analyzing supporting documents to see if the proposed typology of policy making could be replicated in respect to the establishment of the University of Lethbridge.

2. A similar study could be undertaken into the genesis, evolution and eventual demise of the HRRC. The rationale for the establishment of the numerous crown agencies or commissions could be analyzed and included in this study.

3. Another study could take the form of a comprehensive investigation into the origins and genesis of: (a) the HRRC; (b) the Universities Commission; (c) the Colleges Commission; and (d) the Commission on Educational

Planning. Reasons for the abolition of these commissions could be investigated. The study could also include an appreciation of the present role and function of the Department of Advanced Education and Manpower.

4. A study could be undertaken into the various changes in policy direction that have occurred within Alberta in education during the last twenty-five years. These changes in direction and the different emphases that have been observed in Alberta could be identified and some projections for likely future developments could be made.

5. A study could be undertaken into the politico-social consequences of open university programs on rural areas in Alberta. Other questions such as: (a) a consideration of the implications for the province in funding open university programs; (b) a study of the ideological underpinnings of the political parties whose activities resulted in the establishment of Athabasca; and (c) a comparative analysis into the effectiveness of open university programs in Canada, Australia and England could also be considered.

Conclusion

It has been established in this study that from the time the first decision was made to establish a fourth provincial university in Alberta, a period of twelve years, three and one half months elapsed. This period extended from December 20, 1966 to the time when the government finally approved Athabasca University as a permanent self-governing, post-secondary institution April 12, 1978.

While it is appreciated that another party was elected to govern in that period, and that there were certain extenuating circumstances, mainly in regard to a declining student enrolment, it could well be argued that a period in excess of twelve years does seem too long to make and implement a decision whether or not to establish another post-secondary institution.

It is now apparent that making acceptable public policy, or indeed making prudent public policy particularly in the field of higher education, is becoming more complicated and more difficult. It is proposed in this study that if all major educational decisions were subjected to a closer public scrutiny, even being classified according to the three policy types proposed in this study, the quality of policy making in the area of public education would undoubtedly improve.

If it were possible to examine, analyze and debate the rationale for major decisions with the express purpose of identifying those decisions which were clearly: (1) bona fide; (2) expedient or opportunist; and (3) those which were policy decisions of appeasement, then it is strongly argued that the democratic process would function more effectively. It is believed that only by having a well informed electorate and exposing the spurious decision making in the public domain can we hope for an improvement in the quality of public policy making.

One further example may be used to illustrate this point more strongly. The Ministerial Statement on Capital Allocations by the Honourable James D. Horsman, June 15, 1979: Phase II of the University of Lethbridge, expected to be completed in September 1980, $9.32 million . . . The present PC government now seems to be inexplicably locked in to funding this university, but if it could be assumed that the rationale for the original establishment of this university by the Social Credit government was a matter of public knowledge, then some people might choose to spend this $9.32 million differently.

The final point that can be made in relation to this study is concerned with the time that this total decision-making process took. If the public interest is to be served to advantage, then it should be pointed out that

these types of policy decisions should not take twelve years to bring about.

While this study was essentially an investigation into the ways in which the fourth provincial university evolved, the methodology utilized in the study and some of the resultant findings should be viewed with caution. The purpose of the study was two-fold. It was essentially a narrative in which the university's development is described in some detail, and then this is followed by an attempt to draw inferences from this material about the policy-making processes in general. However, there are inherent difficulties in obtaining and processing qualitative data of the type used in this study. These difficulties include the following: (1) the constraints imposed upon the researcher by the interviewees, (2) the limitations of the findings and (3) the efficacy of the grounded-theory approach in obtaining and analyzing data for a study of this nature in the manner used by this researcher.

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APPENDICES

APPENDIX A

RECORD OF PERSONS INTERVIEWED

RECORD OF PERSONS INTERVIEWED

A total of 46 interviews were conducted with the following 35 persons between January 27, 1978 and June 25, 1979:

Barr, John J.	Mr.	Director of Public Affairs, Syncrude Canada Ltd. Formerly Executive Assistant to the Minister of Education, member of key group described in the study.
Barrows, David C.	Mr.	Graduate Student, Social Research Group, School of Public Health, University of California, Berkeley.
Beckel, W. E.	Dr.	President, University of Lethbridge, President-Designate Carleton University. Formerly Vice-Chairman, HRRC.
Byrne, T. C.	Dr.	Honorary Professor, Faculty of Education, University of Alberta. Formerly Foundation President of Athabasca University, Deputy Minister of Education and member of key ad hoc committee described in the study.
Checkland, E. M.	Rev.	Minister of Religion, First Baptist Church, Edmonton, Alberta. Vice-Chairman, Athabasca University Governing Council.
Clark, Robert C.	Mr.	Leader of the Opposition, Legislative Assembly of Alberta. Formerly Minister of Education and Minister of Youth.

Clement, Carlton W. The Honourable Mr. Justice

Formerly the Chairman of the first Interim Governing Authority, Athabasca University.

Daniel, J. S. Dr. Vice-President, Learning Services, Athabasca University.

Davis, Solomon Mr. Graduate Student, Social Research Group, School of Public Health, University of California, Berkeley.

Ferguson, L. W. Dr. Director, Applied Studies, Athabasca University.

Ford, H. W. Mr. Director, Alberta Bureau of Statistics.

Formerly Secretary and Financial Analyst, The Alberta Universities Commission.

Foster, J. L. The Honourable

Attorney General, Member of the Executive Council.

Formerly the first Minister of Advanced Education, Minister of Advanced Education and Manpower, Legislative Assembly of Alberta.

Gehrke, Nathalie Dr. Bureau of Educational Research and Service, Arizona State University.

Glaser, B. G. Dr. Social Research Group, School of Public Health, University of California, San Francisco.

Hohol, A. E.	The Honourable Dr.	Minister of Advanced Education and Manpower, Member of the Executive Council, Legislative Assembly of Alberta.
Hole, Lois	Mrs.	Member, Athabasca University Governing Council, Chairman, Sturgeon School Board.
Horowitz, M.	Dr.	President-Designate, University of Alberta.
Ingram, E. J.	Dr.	Professor, Department of Educational Administration, University of Alberta. Formerly Associate Director, HRRC.
Johnston, D.	The Honourable	Minister of Federal and Intergovernmental Affairs, Member of the Executive Council. Formerly Minister of Municipal Affairs.
Jones, J. R. B.	Mr.	Formerly Capital Planning Officer, The Alberta Universities Commission, Director of Capital Development, University of Alberta and Brigadier-General, Royal Canadian Engineers.
Kolesar, H.	Dr.	Deputy Minister, Department of Advanced Education and Manpower, Edmonton, Alberta.

Manning, Preston	Mr.	M and M Systems Research Ltd., Edmonton, Alberta. Formerly Social Credit Party functionary, held no official government appointment, member of key group described in the study, son of the premier, Mr. E. C. Manning.
McDonald, B. H.	Mr.	Associate Vice-President (Academic Administration), University of Alberta, Edmonton. Formerly Secretary and Financial Analyst, The Alberta Universities Commission, and Secretary, The Survey Committee on Higher Education in Alberta.
McIntosh, R. G.	Dr.	Professor, Department of Educational Administration, University of Alberta. Formerly Assistant to the Director, HRRC.
Oddie, L. R.	Dr.	Coordinator, Institutional Research and Evaluation, Athabasca University.
Richmond, J. M.	Mr.	Director of Planning, Athabasca University.
Schmidt, Erick	Dr.	General Systems Research Ltd. or Westrede Institute Research Bureau, Edmonton, Alberta. Formerly Special Consultant to the President of the Executive Council, member of the key group described in the study.

Shorter, Larry T.	Mr.	President, ACCESS, Alberta Communication Centre for Educational Services and Systems. Formerly Executive Secretary to the Cabinet Committee on Education.
Smith, W. A. S.	Dr.	President, Athabasca University. Formerly Dean of Arts, Simon Fraser University, President, University of Lethbridge, and member of key ad hoc committee described in the study.
Snowden, B. L.	Mr.	Vice-President, University Services, Athabasca University.
Stewart, Andrew	Dr.	Formerly the second Chairman, Alberta Universities Commission, Chairman of the Board of Broadcast Governors, Ottawa, President, University of Alberta.
Swift, W. H.	Dr.	Formerly the first Chairman of the Alberta Universities Commission, Deputy Minister of Education, Edmonton, Alberta.
Workman, W. L.	Dr.	Executive Assistant to Deputy Minister, Department of Advanced Education and Manpower, Edmonton, Alberta.
Worth, W. H.	Dr.	Dean, Faculty of Education, University of Alberta. Formerly Deputy Minister, Department of Advanced Education and Manpower, Deputy Minister of Advanced Education, Commissioner for Educational Planning, Vice-President, Planning, University of Alberta and member of key ad hoc committee described in the study.

Wyman, M.	Dr.	Chairman of the Alberta Human Rights Commission. Formerly President, University of Alberta.

Readers are advised that the tape recordings of these interviews and other documentary evidence will be kept in the Department of Educational Administration for a period of five years. (See comment, p. 178.)

APPENDIX B

INTERVIEW GUIDE

University of Alberta
Department of Educational Administration

An Interview Guide
Designed to Generate
Information for
the Dissertation

A CASE STUDY IN EDUCATIONAL POLICY MAKING: THE ESTABLISHMENT OF ATHABASCA UNVIERSITY

by

Michael W. Small

A CASE STUDY IN EDUCATIONAL POLICY MAKING:
THE ESTABLISHMENT OF ATHABASCA UNIVERSITY

1. (a) Who was mainly responsible for the idea of the establishment of Athabasca University? Why?

   (b) Who were the groups of people who initiated the move to establish the university? Why?

   (c) What were some of the underlying reasons for this move? Why?

2. (a) What was the motivation behind this move to establish Athabasca? Why?

   (b) In deciding to establish Athabasca University, comment on whether you saw this move as an educational decision or a political decision.

   (c) Which was the dominant motive at this time, the educational or the political? Why?

3. (a) What was the original mandate of the university? Why?

   (b) Who did the founders of the university envisage as their clientele? Why?

4. (a) Why did the succeeding PC Government change its policy in regard to Athabasca? What were the reasons for this change?

5. (a) Who introduced the concept of the open university to the founders? Why?

   (b) Who was responsible for the change in overall plan, i.e. the change to the open university concept? Why?

6. (a) What do you see as the future role of Athabasca University? Why?

   (b) Comment on the statement by the present council chairman, that Athabasca may emerge as the norm in university education as economic constraints become more severe and as opportunities depend more and more on university education.
   (The Edmonton Journal, April 25, 1978)

APPENDIX C

TABLE 1
TABLE 2

Table 1

Chronological Review of Main Events:
Four Stages in the Genesis and
Evolution of Athabasca University.
Orders in Council, Key Reports,
Events and Appointments

1957	Advisory Committee on Education, Minister of Education.
December 31, 1957	The Royal Commission on Education in Alberta established by Order in Council, 2009/57.
1959	Report of the Royal Commission on Education in Alberta.
June 28, 1961	First meeting of The Survey Committee on Higher Education in Alberta.
1966	Stewart, Andrew 1966 Special Study on Junior Colleges. Alberta Survey Committee on Higher Education.
April 1, 1966	The Alberta Universities Commission.
June, 1966	Dr. T. C Byrne, Deputy Minister of Education.
July 4, 1966	Robert C. Clark, Minister of Youth.
December 20, 1966	**First decision to establish another independent university.*

*Key events shown thus.

Table 1 (continued)

March, 1967	Manning, Ernest C. Premier of Alberta 1967 A White Paper on Human Resources Development. Edmonton, Alberta.
March 30, 1967	Alberta Human Resources Research Council.
June, 1968	Living and Learning. The Report of the Committee on Aims and Objectives of Education in the Schools of Ontario (the Hall-Dennis Report).
December 12, 1968	Robert C. Clark, Minister of Education.
June 24, 1969	The Commission on Educational Planning established by Order in Council 1126/69 under the Public Inquiries Act. Dr. W. H. Worth Commissioner.
October, 1969	The Commission on Educational Planning commenced work.
December 16, 1969	**Second decision to establish the fourth university.*
January, 1970	Clark, Robert C. Minister of Education 1970 Post Secondary Education Until 1972, An Alberta Policy Statement. Education Department, Alberta. Archives No. 58.

*Key events shown thus.

Table 1 (continued)

Stage I	ATHABASCA UNIVERSITY: THE ORIGINAL CONCEPT
June 25, 1970	**Order in Council 1206/70. (1) That a university shall be established . . . the name of which shall be the ATHABASCA UNIVERSITY.*
May, 1971	Dr. T. C. Byrne appointed foundation President of Athabasca University.
July 8, 1971	**Order in Council 1208/71. (1) Appointed a second interim governing body. Four new members appointed, four members retained from the original governing authority.*
August 31, 1971	Social Credit Government defeated after 36 years (1935-1971).
Stage II	ATHABASCA UNIVERSITY: THE FREEZE OR PERIOD OF LIMBO
September 10, 1971	Progressive Conservatives now in office. The Honourable J. L. Foster, Minister of Advanced Education.
April, 1971	Athabasca University. Governing Authority. Athabasca University: Academic Concept.
March 21, 1972	Orders in Council 427/72, 428/72. Pursuant to Section 2 of the Public Inquiries Act Dr. T. C. Byrne appointed as a commissioner for the purpose of inquiring into and concerning the Red Deer College at Red Deer.

*Key events shown thus.

Table 1 (continued)

June 16, 1972	Release of A Choice of Futures, Report of the Commission on Educational Planning. First electronic news conference in Alberta.
August 31, 1972	Human Resources Research Council to close down.
September 1, 1972	Dr. W. H. Worth, Deputy Minister of Advanced Education.
October, 1972	Athabasca University. Governing Authority. Athabasca University: An Experiment in Practical Planning.
December 20, 1972	**Order in Council 1986/72. (1) Established a university to be known as ATHABASCA UNIVERSITY. (2) Established an interim governing authority to exist until June 30, 1974.*

Stage III ATHABASCA UNIVERSITY: THE EXPERIMENTAL OR PILOT PROJECT

December 20, 1972	
January 1973	Ingram, E. J. and West, L. W. Report of a Staffing Study Re the Athabasca University Pilot Project. L. W. Downey Research Associates Ltd., Edmonton, Alberta.
May 15, 1973	Order in Council 742/73. The Alberta Universities Commission to close down.

*Key events shown thus.

Table 1 (continued)

July 2, 1974	**Order in Council 1133/74. (1) Extended the term of the interim governing authority to June 30, 1976.*
March 24, 1975	Downey, L. W. Research Associates Ltd. 1975 The Athabasca University Pilot Project. Edmonton, Alberta.
April 13, 1975	The Honourable Dr. A. E. Hohol, Minister of Advanced Education and Manpower.
June 1975	Alberta Advanced Education and Manpower Athabasca University: A Proposed Role and Mandate.
September 17, 1975	**Order in Council 1183/75. (1) Appointed different persons to the interim governing authority.*
November 6, 1975	**Executive Council approved in principle the establishment of Athabasca University as a permanent baccalaureate level university.*
Stage IV	ATHABASCA UNIVERSITY: THE PRESENT CONCEPT - provincially funded undergraduate degree granting institution. - modelled in part after the British Open University. - specializing in distance delivery education involving a variety of media.
November 6, 1975	The establishment of Athabasca University as a permanent baccalaureate university.

*Key events shown thus.

Table 1 (continued)

June 22, 1976	**Order in Council 692/76. (1) Extended the term of the interim governing authority to December 31, 1977.*
October 1, 1976	Dr. W. A. S. Smith, Dean of Arts, Simon Fraser University succeeded the founding President, Dr. T. C. Byrne.
October 1, 1976	Dr. H. Kolesar, Deputy Minister of Advanced Education and Manpower.
April 18, 1977	Dr. R. A. Bosetti, Assistant Deputy Minister, stated that The Universities Amendment Act 1977 was ready for review and Athabasca University's governing body would function within the Act.
July 4, 1977	Athabasca University. Governing Authority. 1977 Athabasca University: A Framework for Development. Athabasca University. Governing Authority. 1977 Appendix, Athabasca University: A Framework for Development.
April 12, 1978	**Order in Council 434/78. (1) Promulgated the Athabasca University Regulations.* *Order in Council 435/78. (1) Appointed persons to the Athabasca Governing Council for a three year term of office, effective April 12, 1978.* Athabasca University finally approved as a permanent self-governing post-secondary institution.

*Key events shown thus.

Table 2

CHRONOLOGICAL SUMMARY OF DECISIONS

July 6, 1965	"A study should be made of the question of future expansion of junior colleges and other facilities for higher education." (Press Release: Third Interim Report of the Survey Committee on Higher Education.)
April 1, 1966	"The matter of a fourth university should be held in abeyance and the University of Alberta should be permitted some further expansion." (Alberta. Alberta Universities Commission. Annual Report, 1966-67, 5,(d).)
June 27, 1966	Pressure was being felt at this time from such interested parties as the ATA and Faculty of Education for a conference on post-secondary education problems. (Item of business: A further campus in or near Edmonton. Alberta Universities Commission.)
August 4, 1966	The question was resolved as follows. Would provision be made for: (1) an independent university; (2) a liberal arts college; (3) junior colleges; or (4) satellite campuses of the University of Alberta? (Alberta. Alberta Universities Commission. Annual Report, 1966-67, 5,(d),(i),(ii),(iii),(iv).)

Table 2 (continued)

October 4, 1966	The University of Alberta favoured additional facilities at a "proximate" site. This would be best from a cost point of view . . . (Dr. M. Wyman, University of Alberta/ Alberta Universities Commission.)
November 8, 1966	The Ecumenical or Inter-Denominational Group moved to establish a state supported university with a Christian orientation. (Premier and Executive Council/Alberta Universities Commission.)
December 20, 1966	The solutions to the problems of increased student enrolment now seemed to be: (1) a "proximate" campus on the University of Alberta farm land, (2) a "satellite" campus with some degree of semi-independence, (3) an independent university. The last proposal seemed to be the one accepted by Cabinet.
December 20, 1966	**The government decided that another independent university would be established.*
March, 1967	Manning, Ernest C. Premier of Alberta 1967 A White Paper on Human Resources Development. Edmonton, Alberta. 83: "New Junior Colleges and Universities have been approved."
June 28, 1967	Initial discussions took place regarding the selection of a site for the new university.

*Key events shown thus.

Table 2 (continued)

September 19, 1967	The Government decided that the fourth university would not be built for two or three years.
July 24, 1968	". . . and I think we should all agree that the most important and urgent is the matter of a fourth campus in the Edmonton area." (Walter H. Johns, President, University of Alberta to Dr. Andrew Stewart, Chairman, The Alberta Universities Commission.)
August 20, 1968	"Would the new university be autonomous or a satellite?" (Alberta Universities Commission/ Edmonton Regional Planning Commission Site Study.)
September 24, 1968	"No action taken as yet by the government on the matter of the fourth university." (Alberta Universities Commission.)
December 17, 1968	The alternatives seemed to be: (1) a new university; (2) a satellite university; (3) a satellite university which sould split the University of Alberta vertically; (4) a satellite university which would split the University of Alberta horizontally; (5) a new type of institution.
February 18, 1969	"No decisions had been made regarding the fourth university." (Alberta Universities Commission.)

Table 2 (continued)

April 15, 1969	"The commission must find a solution which does not involve the establishment of a fourth university." (Alberta Universities Commission.)
June 10, 1969	The decision on new institutions was the responsibility of the government. (Dr. Andrew Stewart, Chairman, Alberta Universities Commission/Honourable R. C. Clark, Minister of Education.)
June 11, 1969	Current proposals to deal with the huge anticipated increased student enrolment now included: (1) the University of Alberta should be allowed to expand by means of a satellite campus; (2) an affiliated (two year) college under a separate governing body should be established; (3) a new university should be considered on a separate site in the metropolitan area. No preference among these alternatives had been expressed. (Dr. Andrew Stewart, Chairman, Alberta Universities Commission/Honourable R. C. Clark, Minister of Education.)
December 16, 1969	**The Minister stated: "the decision had been made to proceed with the fourth university."*
January, 1970	The Minister stated that construction of a fourth university must be commenced immediately and completed within three years.

*Key events shown thus.

Table 2 (continued)

April 21, 1970	1. Dr. T. C. Byrne appointed Chairman of an ad hoc committee to function as an advisory committee until the interim governing body was appointed. 2. The name ATHABASCA (lit.) "Where the reeds grow," suggested by Dr. Byrne to the Minister. 3. The Government had decided that the fourth university would be in the St. Albert area.
June 25, 1970	Athabasca University established by Order in Council 1206/70.
July 15, 1970	The Honourable Mr. Justice Carlton W. Clement appointed chairman of the Interim Governing Authority.
May, 1971	Dr. T. C. Byrne appointed foundation President of Athabasca University.

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